



# **Policies and Procedures Handbook**

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**APPROVAL AND REVIEW DETAILS**

<b>POLICY NAME</b>	<b>Policies and Procedures Handbook</b>		
<b>POLICY NO</b>	01	<b>VERSION NO</b>	V1
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<b>RESERVED/ DELEGATED</b>	Reserved	<b>OVERSIGHT COMMITTEE</b>	Executive Council
<b>VERSION</b>	<b>SUMMARY OF CHANGE (&amp; section)</b>	<b>DATE</b>	<b>APPROVED BY</b>
V1	Original version	Dec 2022	Executive Council

## **1 VISION, MISSION AND GOALS**

### **1.1 Vision, Mission, and Goals - Development, Approval and Review**

#### **1.1.1 Vision:**

Khawarizmi Training Solutions aspires to provide world-class quality training programs in areas of national and regional needs in order to make significant contribution to the human capital development in the region in line with the Strategic Plan 2030 of the Abu Dhabi Education Council (ADEC).

#### **1.1.2 Mission**

KTS is committed to regularly assess the current and future training needs of the UAE community and respond by providing training programs that are certified by international professional and industrial bodies and also meet the core-life skills as described by the UAE National Qualification Framework. Whenever the need arises, locally developed programs will be offered using the same standard of internationally accredited programs.

All training programs will be offered using the best practices found at world-class training centers. The contents of all international programs will be customized to suit the UAE society and the region.

#### **1.1.3 Strategic Goals**

KTS aims at being the leading institution for excellence in learning and teaching by:

- Carefully analyzing the local needs and regional development plans to introduce the necessary high-quality professional training programs for human capital development and lifelong learning.
- Recruiting and retaining qualified trainers and engaging them actively in on-going research activities, academic and professional development.
- Providing state-of-the-art campus with all educational and other facilities that meet or exceed the expectations of most of the learners.
- Providing a friendly, conducive and challenging environment that helps the Learners, Staff, and Trainers to excel in their fields.
- Qualify and equip the learners with local industry-related knowledge & skills.
- Establish strategic partnerships for collaborative agreements with professional bodies.

#### **1.1.4 The process for changing the vision, mission and goals:**

- The vision, mission and goals of the organization will be reviewed at every 5 years or earlier if required.
- All stakeholders shall be involved in the review process.

- The review will be done in light of the current internal and external environment and KTS performance.
- Results of the review and the recommendations shall be forwarded to the Board of Directors/Executive Board.
- The Board of Directors/Executive Board is responsible for finalizing the recommended changes in the mission of KTS.
- An initial proposal will be drafted by the Board of Directors/Executive Board.
- It will then be sent for feedback and critique by all the stake holders.
- The feedback will be reviewed and then a new mission statement will be prepared.
- The Board of Directors/Executive Board shall approve the new mission and seek approval from the UAE MOE.
- After the approval of the UAE MOE the changes will be implemented

## **1.2 Governance**

### **1.2.1 KTS's CEO**

The CEO of KTS is expected to show aspects of leadership and provide service to students, faculty, and departments in that unit. The CEO is responsible for administering Educational Programs in conformity with the objectives, philosophy and policy of KTS.

Specific duties and responsibilities include: providing leadership to improve curriculum, effective instruction, and public relations; counseling faculty and students on academic, evaluative, vocational, and personal matters; serving as liaison officer for cooperative activities among departments, communities, and other groups; carrying out policies formulated by the administration and those developed by the interaction of KTSs and schools; and administration of such matters as budgets, schedules, catalog copy, equipment, preparation of statistical reports, supervision of administrative support, and routine record keeping.

The CEO heads the Academic Board Committee. The responsibility of the day-to-day management of KTS rests with the CEO.

#### **The main responsibilities of the CEO are:**

- The appointment of other senior management staff such as; the Academic Director, Head of Quality, Head of Admission & Registration, and Student Relations Manager.
- Approval of all publicity and marketing materials prepared by the Academic Director and the Head of Marketing and Public Relations.
- Approval of all auditing and financial reports prepared by the Head of Financial Affairs.

- Participation in the Standing Committees for approval of various policies and procedures.
- Active promotion of KTS as whole and regular visits to key persons in the local industry or the education field in order to maintain high profile of KTS locally.
- Performance of audits of KTS's academic records, course delivery techniques, and financial records.
- Maintaining strong links with the Ministry of Education and making sure that KTS complies with all ministries' rules and regulations.

### **1.2.2 Academic Director**

The Academic Director is responsible of advising the CEO on all issues that are related to the maintenance of high academic standards for the Educational Programs and future programs as well. The Academic Director is expected to demonstrate leadership to the academic departments' staff by providing active support of excellence, and make sure that the academic departments' aims and objectives are met, students are motivated to learn in a friendly environment and KTS resources are well utilized.

The Academic Director is responsible for the sound execution of academic operations. The Academic Director also supports the CEO in managing academic departments and maintaining a friendly environment for the students. In addition, he/she provides departments with support in scheduling, registration, students requests and appeals, along with other academic operations.

This position works in close collaboration with the Head of Quality and Heads of Admin departments to ensure coordination, effective collaboration and timely completion of projects, reports, scheduling, meetings budgets, advisory boards, accreditation, and internal and external communications, to ensure efficient, compliant, and high-quality academic operations. He/She works closely with others in KTS to ensure high levels of operational effectiveness and efficiency, including achievement of identified performance objectives/KPIs such as student and faculty retention, enrolment growth, placement, and all operational deadlines. He/She is both an academic and business leader with the Academics department.

### **1.2.3 Human Resource Manager**

The HR Manager is responsible for the effective recruitment of well-qualified faculty and staff to ensure KTS can effectively provide instruction for all offered programs. The HR Manager is also responsible to provide policies and procedures to ensure the legal and fair treatment of faculty and staff and to provide guidance to the management team of KTS regarding such matters.

### **1.2.4 Student Relations Manager**

The Student Relations Manager is responsible for effective management of the student development services unit in order to maintain conducive academic environment where students can learn and develop positive attitude.



### **1.2.5 The Head of Admission & Registration**

The Head of Admission & Registration is responsible for managing an effective students' records system (manual and electronic) so that timely and accurate information about all students is maintained.

### **1.2.6 IT Services Manager**

As the senior manager in IT, the Head of IT Services is responsible for the design, maintenance, support, and ongoing improvement of all IT infrastructure and services for both enterprise systems and individual users. The Head of IT must take both a strategic and operational approach to IT services, ensuring proactive management of budgeting, risk, security, upgrades, training, contracts, licensing and all other issues related to a high-level IT operation, while also serving as an organizational leader on the Executive Committee.

### **1.2.7 Head of Quality**

Head of Quality is responsible to enhance the institutional quality and standards framework essential to maintaining the quality of student learning and teaching. Also, the main function is to support the development of KTS policies and procedures and to ensure that they are consistently implemented throughout the programs/courses; to maintain oversight of quality- and standards-related activities across the institution; to provide guidance on the institution's quality assurance system and procedures, and to provide advice and support on quality matters to senior managers, Faculty staff and KTS's partners.

### **1.2.8 KTS Campus Manager**

KTS Campus manager directs and manages all aspects of campus operations. She/he works closely with the Academic Director, as well as all faculty and administration staff to ensure the smooth and efficient functioning of KTS campus.

### **1.2.9 Head of Financial Affairs**

The Head of Financial Affairs is responsible for maximizing the return on financial assets by establishing financial policies, procedures, controls and reporting systems. This position will ensure that KTS properly allocates funds to ensure the effective operation of KTS. Also, the Head of Financial Affairs shall ensure legal and regulatory compliance for all accounting and financial reporting functions, and oversee cost and general accounting, accounts receivable/collection and payroll and risk management.

### **1.2.10 Head of Marketing and Public Relations.**

The Head of Marketing and Public Relations ensures that relations between KTS and its stakeholders are in good standing. She/he works to seed and build healthy relations with the community as a whole, and with students and parents. Another task is to maintain visibility of KTS and its programs to the public and assure that education at KTS is accessible to the community.

### **1.3 Standing committees**

Standing committees' primary function shall be to consider and recommend actions and policies in the functional areas under their jurisdiction, subject to final approval by the Executive Council.

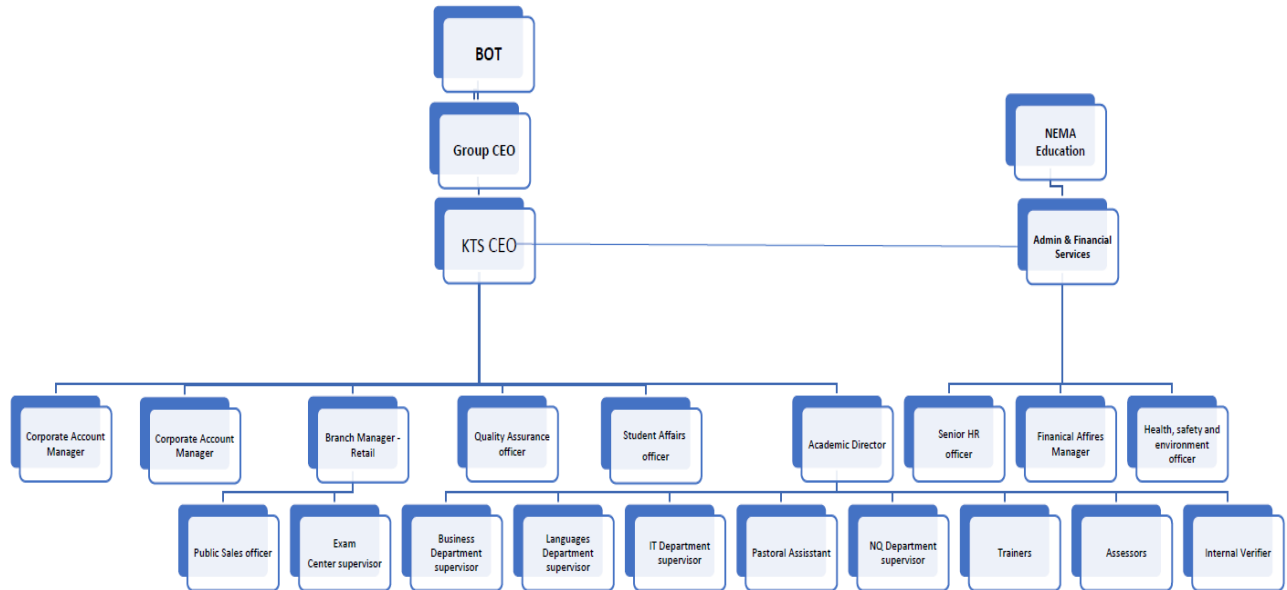
Following are KTS Committees

- Executive Council
- Management Team
- Academic Advisory committee
- Social Responsibility and Engagement Committee
- Health, Safety & Environment Committee

For full details on the committees structure, membership, roles and responsibilities, please refer the 'KTS Committees: Structure and Terms of Reference'.

## 2 STRATEGIC LEADERSHIP AND QUALITY ASSURANCE

### 2/A Roles Structure at KTS



### 2/B Development, delegation, control, review and dissemination of policies

#### Policy Statement

- A Policy is about identifying the broad principles/standards of expected action/behavior and/or compliance, i.e. setting the framework within which decisions are made on a particular matter.
- A Procedure is the series of steps taken to achieve a certain goal or to provide a certain service.
- Policies, procedures, and supporting documents (like forms, and flowcharts) are to be collated annually to produce a Policies and Procedures Manual.
- The process of policy and procedure writing, review, and development can be delegated to employees seen suitable by the CEO of the institute.
- The Board of Trustees delegates the authority of daily operational policy approval and implementation to the CEO of the institute through the formation of the standing Committees.
- New policies, as well as policy updates must be approved and authorized by the CEO of the institute. However, on an annual basis, the policies and procedure manual is to be presented to the Board of Trustees for feedback and potential revision
- The Quality Assurance Unit is the designated custodian of policies and procedures.

#### Policies Review and Update

- Policies and Procedures are to be reviewed regularly according to the "Next Review Date" written in each policy. If no date is identified, the policy and procedure must be reviewed within a time frame not exceeding two years.
- If deemed necessary, the Policies and Procedures can be reviewed and updated before the "Next Review Date" to accommodate the emerging needs within the institute.
- The institute must archive previous editions of all its Policies and Procedures Handbook for a minimum period of five years as per its appropriate record-keeping system.

## **Procedure**

### Policy and Procedure Development

- The CEO assigns the duty of development of new policy and procedure to a specific employee or a group of employees, based on recommendations of the concerned department, escalated through the Quality Assurance Unit/Officer.
- The designated individual or group is given a specific deadline to finalize the draft of the policy and procedure using the Institute template.
- The policy and procedure are submitted to the Quality Assurance Unit/Officer for review.
- If deemed necessary, the Quality Assurance Unit/Officer can have the policy and procedure reviewed by the Institute legal counsellor.
- The finalized version is then sent to the CEO for final approval.

### Policy and Procedure Review

- Review, if scheduled in the original version of the policy, is initiated by the Quality Assurance Unit/Officer and sent to the concerned department. Otherwise, if the department believes that a review is necessary before the due review date, the department can ask the Quality Assurance Unit/Officer to initiate the review process.
- The department can delegate the review process to a single employee or a group of employees within the department.
- The designated group or person sends the necessary updates to the department head.
- The department head can either approve the changes or have a departmental meeting to approve the changes, if deemed necessary.
- The department head forwards the updated version of the policy and procedure to the Quality Assurance Unit/Officer for review.
- If deemed necessary, the Quality Assurance Unit/Officer can have the policy and procedure reviewed by the Institute legal counsellor.
- The finalized version is then sent to the CEO for final approval.

## **2/C Strategic and operational planning processes and responsibilities.**

The QA system of KTS uses tools like ISO report and stakeholder surveys as tools for short-term and long-term planning as fact-based assessment and self-improvement evaluation. The planning process takes place at the management, academic and administrative units' levels. The process formulates plans to achieve institutional goals with the available resources. It involves:

1. identifying goals and objectives to be achieved at the institution's level, based on information and data collected at various units;
2. making decisions on resource allocation and budgeting to achieved the identified goals and objectives; and
3. implementing and monitoring actions to meet these goals and objectives.

Planning is performed at two different interrelated phases:

1. Short-Term Planning: Annual planning is based on annual reports generated from the annual assessment results of all units used to update action plans and performance in the Operational Plans for the coming year. KPIs are utilized to monitor progress with the Institutional Plan and top-level plans; and
2. Long-Term Planning: a five-year plan is based on the analysis of gathered data and information through a comprehensive scanning of the Institute's environment and its strengths and weaknesses. This process may involve changes to the vision, mission, goals and objectives of the Institute

Quality Assurance Unit/Officer relies on four phases during its planning process:

1. Assessment: the assessment phase is based on the data collected through the assessment and evaluation instruments and tools, and administered by the concerned units during designated duration and timelines. The data is thoroughly analyzed. All assessment results are disseminated among units before formal planning activities take place;
2. Planning: The Planning Phase makes use of all the assessment results in reviewing and evaluating the current strategic plans, vision, mission, and goal of the Institute. The units prepare their objectives in light of the institutional goals and objectives;
3. Resource Allocation: The Resource Allocation Phase is closely related to planning. In this phase, the Institute allocated personnel, technologies, monetary, facilities, information, and other resources to achieve the strategic plans, goals and objective for the concerned units; and
4. Implementation: upon allocating resources, all activities and plans are applied throughout the Institute in the Implementation Phase. Once the Implementation phase starts, feedback from the assessment phase provides changes that might be required in any of the previously mentioned phases.

#### Approval

The authority to approve an improvement plan lies with the Executive Council.

#### Budgeting

1. In the case of an improvement plan which applies only to one unit or academic department, the head of the unit / department is responsible for determining the budget impact of the plan. If the improvement plan's budgetary requirements cannot be met out

of the unit/Institute's existing operating budget, then the unit head will seek the approval of the CEO for the improvement plan's budget. If the improvement plan's budgetary requirement can be met within the unit/dept. existing operating budget, then the unit head can approve the improvement plan's budget.

2. In the case of an improvement plan which applies to multiple units/Institutes, the CEO is responsible for determining the budget impact of the plan. The CEO may form a committee consisting of heads of the impacted units to gather the required information and provide budget estimates. Once a budget has been prepared for the improvement plan, the authority to approve its budget lies with the CEO

## **2/D TVET planning processes and responsibilities.**

The TVET is the component of the educational system that offers courses and training programs pertaining to employment in order to facilitate young trainees'/students' transition from secondary education to employment and provide the labor market with qualified apprentices. The TVET Policy at KTS therefore seeks to assist Learners' development of necessary marketable skills and competences essential for the country's transformative labor market.

1. Alignment with legislative and awarding body standards
  - 1.1. The KTS Academic Advisory Committee is responsible to ensure all NQC courses and programs offered are active and approved by NQC/AWB.
  - 1.2. The Academic Director along with the Quality Assurance Unit/Officer ensure all processes lead to compliance of the standards as stipulated in the compliance framework of NQC/AWB.
  - 1.3. The NQ Supervisor/Coordinator to ensure all documentation related to the qualification and learners are stored in appropriate record keeping system and must maintain a secure archive storage and accessibility of transcripts and completion authentication, for a minimum of fifty years. This can be achieved by MS SharePoint and Cloud storage.
  - 1.4. Trainers, assessors, and internal verifiers must be appointed in accordance with NQC/AWB rules where the credentials and required documents are submitted to NQC/AWB portal for approval. For the delivery of its courses and programs leading to National Qualifications. KTS will make sure to use approved Trainers, Assessors, and Internal Verifiers from the field of specialization. To prepare for submission to the portal, KTS may give the prospective Trainers, Assessors, and Internal Verifiers a list of the necessary documentation. KTS will support its current trainers in updating and improving their profiles to meet the NQC/AWB criteria.
  - 1.5. KTS will regularly examine the market to identify and explore potential new courses and programs to offer from the NQC/AWB portfolios.
2. Academic Program Review of existing NQ courses/programs at Khawarizmi Training Solutions for continuous monitoring and improvement:
  - 2.1. The purpose of Academic Program Review at Khawarizmi Training Solutions is to seek ways of further enhancing the quality of academic programs. Academic Program Review provides an opportunity for all of us to make better, more informed decision, leading to program improvement. The review of academic programs is also an expectation of many

external accrediting agencies.

- 2.2. This policy applies to Academic Director, NQ Supervisor/Coordinator, External reviewers and any other person handling documents related to the Academic Program Review in KTS.
- 2.3. Academic Program Review is intended to be a collaborative process. It is intended to be formative and to lead to program improvement.
- 2.4. The Academic Program Review process is intended to ensure that every quantification at KTS is reviewed once every five years.
- 2.5. Appointment and Roles of Reviewers
  - Academic Program Review involves internal/external reviewers who must have formal credentials in the appropriate discipline/field.
  - The actual number of reviewers will be determined by the Academic Director and CEO.
- 2.6. Academic Program/Qualification Review Preparation Timeline

The Academic Program/Qualification Review process is carried out using the following timeline:

- 6-8 months prior to the site visit, notification of review is sent to the relevant Head of the Department (or NQ Supervisor/Coordinator) by the Academic Director.
- 4-5 months prior to the site visit, a list of potential reviewers is submitted to the CEO by Academic Director.
- 3-4 months prior to the site visit, the reviewers are formally invited by the Academic Director; one member is selected as chair and is responsible for the report from the external members of the review team.
- 2-3 months prior to the site visit, dates for the site visit are determined.
- 2 months prior to the site visit, the Academic Committee consults with the Head of the Department of the relevant program (or NQ Supervisor/Coordinator), KTS related information and adherence to awarding body guidelines. The Head of the Department of the relevant program (or NQ Supervisor/Coordinator) makes all necessary corrections.
- 1-2 months prior to the site visit, the approved supporting materials are sent to the external reviewers who may request additional information/materials prior to the site visit.
- 2-weeks prior to the site visit, the agenda for the site visit is finalized.
- 1-2-day site visit.
- 1-2 months after the site visit, the reviewers submit their reports to the Academic Director of the relevant program/qualification. The Academic Committee prepares its response to the reports, which is submitted to the relevant NQ Supervisor/Coordinator. The Executive Committee debates the reports and response and makes its recommendations. The Academic Committee develops an action plan, which is subsequently presented to Executive Committee.

## **2/E Risk management**

The process of discovering, evaluating, and controlling risks to an organization's resources and profits is known as risk management. These dangers can be caused by a number of things, such as monetary unpredictability, legal responsibilities, technological problems, strategic management blunders, accidents, and natural calamities.

The goal of the risk management policy is to show that KTS is acting appropriately when it comes to anticipating risks, assessing risks, avoiding excessive risk, embracing necessary or desirable risks with appropriate safeguards, and responding to risks by purchasing insurance, taking control measures, or avoiding them altogether.

The detailed [Risk Management Plan and Policy](#) are available.

## **2/F Self-evaluation and quality improvement action plan**

### **2/I Quality assurance practices**

KTS is an ISO 9001:2015 certified institution, whereby it adhere to specifies requirements for a quality management system when an organization:

- a) needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and
- b) aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

KTS receives an annual inspection visit by the ISO team which audits all departments functions and institute operations to ensure implementation of quality standards in areas of training, administrative and other functions of the institute. The audit visit produces a corrective action plan for standards not met and for improvement in the coming year. All corrective actions needed have to be cascaded to the departments operational plans to ensure improvement are monitoring through the year.

The KTS Executive Committee is responsible to ensure all courses/programs offered and operation functions meet the standards and maintains active certifications from ISO.

## **2/G Schedule for the review and updating of the strategic and operational plans.**

### **2/H Setting of key performance indicators (KPIs) for all operational and TVET department**

KTS uses a framework consisting of discrete elements which link to each other to ensure identification of strategic goals, alignment of shorter-term actions with strategy and assessment of progress towards achieving goals:

- Strategic planning is carried out in five-year cycles, the output is the KTS Strategic Plan
- Operational planning is carried out annually, the outputs are annual initiatives (KTS level) and operational plans (department level)
- KPIs are set annually with targets for KTS's annual initiatives and departmental objectives
- Monitoring is carried out quarterly for annual initiatives, Strategic KPIs and Operational plan for departmental KPIs.



KTS's planning activities reflect its commitment to evidence-based continuous improvement so that these will be robust. Involvement of key stakeholders and their roles and that of the standing Committee and Quality Assurance Unit/Officer ensure appropriate monitoring, implementation and improvement of policies governing the strategic and operational planning processes and responsibilities at KTS.

### **3 QUALIFICATIONS AND ADMISSIONS**

#### **3/A Internal quality assurance (IQA)**

The internal quality assurance (IQA) is the responsibility of all KTS employees in all functions of its operations.

The internal quality assurance (IQA) consist of the Trainer, Assessor and the Internal Verifier.

The detailed internal quality assurance (IQA) policies are available via link below:

[Internal Quality Assurance policies .pdf](#)

#### **3/B Lifelong learning**

Info of the learning paths have to be provided during orientation of the students.

Re-admission of learners is allowed to continue their qualification after dropout.

The dropout case will be reviewed by the IV and the Assessor to ensure the eligibility and continuity of the student based on applicable guidelines from the NCQ/AWB at the time of re-admission.

#### **3/C Recognition of Prior Learning (RPL).**

This policy is established to fairly assess work experience, publications, training, workshops, and informal education that the student has completed prior to joining KTS.

This Policy applies to prospective students who have completed a component similar in learning outcome to courses offered at KTS and they would like to be exempted from those courses.

The student must include the relevant documents and other evidence to demonstrate his/her prior knowledge, skills, and competencies.

The student with RPL request are referred to AWB to review applicable exemptions.

After approval and consideration by AWB, KTS will process the admission for the student.

#### **3/D Qualification information and completion requirements**

KTS will ensure all information related to the qualification is made available to the learner through the Learner Handbook which is provided to the student immediately after the admission.

The Learner handbook can be accessed by the link [Learner Handbook](#).

The following are the requirements for completing any NQC courses offered by KTS:

1. A learner progress report must be produced with full supporting documentation for every unit
2. The student must finish the required internship, if applicable.
3. IV evaluation to determine whether the learner is competent or not and approve for certificate claim.
4. The NQC coordinator will submit the learner completion information on the ACTVET portal.
5. An audit is performed as part of a "summative external verification visit" by ACTVET

### **3/E Training, assessment and feedback**

This policy ensures adherence to laws and regulations, provide guidance for decision-making, and streamline internal processes, the policies related to training, assessment, and feedback that were developed based on the principles and recommendations of the AWB and the NQC.

Detailed policy on training assessment and feedback can be accessed by the link below:

[Training, Teaching & Assessing policies](#)

### **3/F Code of Conduct and Malpractice**

This policy provide for:

- Class room conduct
- Academic conduct
- Compliance to HSE
- Utilization of resources

Any matter of misconduct will be reported by the trainer to the Academic Director. A disciplinary panel may be arranged depending on the nature & level of misconduct.

In case the IV identifies any case of academic malpractice, the same will be reported to AWB (ACTVET).

Detailed policy on Code of conduct and malpractices can be accessed by the link below:

[Code of conduct and malpractices policies](#)

### **3/G Outcomes of the qualification are issued, recorded and reported**

The NQ Supervisor/Coordinator ensures that the outcomes of the qualification are issued, recorded and reported in accordance with:

- (i) National Qualifications Framework (QFEmirates Handbook)
- (ii) NQC data issuance and reporting requirements.

The NQ Supervisor/Coordinator shall submit a monthly report to the Academic Advisory Committee on the records of NQC/AWB.

**3/H Recognize NQC endorsed qualifications issued by any other ATP**

**3/I Recognize the NQC endorsed qualifications and additionally, 'records of achievement' as determined by NQC, issued by another ATP**

Recognize NQC endorsed qualifications issued by any other authorized ATP (Transfer of qualifications - TOQ):

Students transferring from other ATP are allowed to claim credit transfers for certain courses in KTS Programs based on the following:

- All transfer students must meet KTS's entry requirements as per KTS admission requirements.
- Copies of Learner work for previous qualifications studied with detailed course descriptions from the other ATP.
- Transcript from ACTVET to support the claim for units completed
- All evidences of completion of units at previous ATP to be submitted for review by the IV at KTS. This may be supported by a letter from previous ATP on the competency achieved by the learner for the units claimed for transfer or exemption.
- The IV at KTS will make robust review of the submitted units. After this review it is concluded the unit is completed and exemption is granted accordingly. The Learner can be competent (C) or not yet competent (NYC)
- The institution where the student had previously studied must be one of the ATP institutions accredited by the NQC in the UAE.
- It is not allowed to grant credit twice for substantially the same course taken at two different ATP.
- No credit transfer will be given to internships and projects courses.
- TOQ summary is verified by the IV, Trainer (verifier) and approved & signed by HOD and Academic Director.
- The result of the claim is communicated in writing to the learner prior to the learner's enrolment. When the claim is successful, the Learner record is updated by the NQ Supervisor/Coordinator.
- Departments may occasionally review the course content and in this case, TOQ cannot be automatic.
- The academic department is the only authority to decide on change of content or subject matter and/or TOQ.
- If the applicant to transfer is already a holder of any national qualification from KTS or from an authorized ATP, the same process and procedures will apply as above.

## **4 HUMAN RESOURCES**

### **4/A Staff Handbook that includes all the information specified in Compliance Indicator 4a: Staff Handbook.**

#### **4/C Handling of employee legal issues.**

KTS maintains a Staff Handbook that includes:

- all the information specified in Compliance Indicator 4a: Staff Handbook.
- policies and procedures governing the handling of employee legal issues.
- All other relevant information, policies and procedures necessary for the Staff to smoothly perform their duties as well

The KTS Staff handbook can be accessed by the link below:

[KTS Staff Handbook.pdf](#)

### **4/B Nepotism including employee relationships.**

KTS has well established policy related to nepotism including employees relationships.

The policy can be accessed by the link below:

[KTS Nepotism Policy](#)

### **4/D Role of the individual designated for each aspect of quality assurance and the self-evaluation process.**

The IQA Team at KTS consist of the Trainer, Assessor and Internal Verifier. KTS has outlined guidelines governing the role of the individual designated for each aspect of quality assurance and the self-evaluation process. These are available in the job description card and can be accessed by via the link below:

- [Trainer - IT](#)
- [Trainer - Business](#)
- [Trainer – Languages](#)
- [Assessor](#)
- [Internal Verifier](#)

The detailed internal quality assurance (IQA) policies are available via link below:

[Internal Quality Assurance policies .pdf](#)

## 5 LEARNER PROVISION

### 5/A Safeguarding including the prevention of radicalization, extremism and terrorism.

1. Purpose

This policy describes the process to follow when a misconduct is to be reported. It is not a policy to answer grievances cases. It is to protect whistle-blowers.

2. Scope

This policy allows proper investigation and provision of needed resources when learner, employee and/or personnel reports cases such as, but not limited to the following:

- Breaching of KTS's policies and procedures.
- Any kind of prejudice founded on gender, color, religion, or nationality.
- Breaching of contract, exercising fraudulent act, or breaking any law or regulation pertaining to the institution's internal guidelines and policies.
- Any kind of sexual provocation.
- Any kind of verbal or physical mistreatment of others such as bullying or nepotism.
- Jeopardizing health and property of KTS, learners and employees.
- Any unidentified illegal assault.
- Any incident of radicalization, extremism and terrorism
- Any plan to conceal evidence pertinent to any of the above items.

3. Policy Statement

The whistle-blower policy is found to protect learners and full and/or part time employees and personnel, who report any kind of misconduct at KTS, from any unfair or unethical actions against them. A whistle-blower is someone who thinks a KTS policy has been breached and reports to a superior or the head of human resources (HR).

4. Procedure

4.1 Raising Concerns – Reporting

4.1.1 Any learner/employee should feel confident to discuss any concern with his/her trainer/direct manager or Head of HR, when the concern involves his/her trainer/manager, and if he/she feels unsatisfied, should raise the concern to higher management.

4.1.2 KTS Management must notify the Head of HR about accusations raised pertinent to this policy and is responsible to provide any supportive material.

4.1.3 A whistle-blower is any KTS learner/employee or personnel that suspects misconduct, illegal acts, or the mere suspicion of the latter. The identity of who informs a manager, superior, head of entity and/or Internal Audit about an activity, which that person believes to be in violation of any of the KTS policies, will remain anonymous.

- 4.1.4 The unit, department, and/or team that receives the complaint or notice from the whistle-blower are to ensure that the reporter does not experience any harassment or victimization of any kind.
- 4.1.5 If an allegation or suspicion was reported in good faith and under reasonable conditions, where the reported genuinely believe it to be true, but was not confirmed after thorough investigation, the reported will not be held liable or accountable. On the contrary, if the reporter of the suspicion presented the allegation maliciously, frivolously, or under bad faith and/or unprofessional (personal) reasons, the Executive Committee will take disciplinary action.
- 4.2 Confidentiality and Protection of Concerned Parties
  - 4.1.6 KTS will ensure confidentiality of the identity of whistle-blowers and will make sure they safeguard them from any unfair actions.
  - 4.1.7 Individuals who perceive any action against them as a result of whistleblowing can formally raise their concern to the Head of HR who is responsible to validate and follow up on the case until it is satisfactorily closed. Proper action up to dismissal may be taken against such a violation. Equal privileges apply to a dishonestly accused individual.
  - 4.1.8 The identity can be disclosed only following an agreement with the concerned person especially when the case involves legal perspectives that necessitate such disclosure, or when the law imposes it.
  - 4.1.9 The accused individual has a legal right to have access to all related information.
- 4.3 Exceptions
  - For exceptions beyond the terms stated in this policy, an application needs to be submitted to the Executive Committee for ruling.
- 4.4 Breach of this Policy
  - 4.4.1 Any learner/employee and/or personnel will be held liable for any act where the latter should have acted in good faith with respect to the whistleblower. Failure to comply with the provisions of this policy will potentially lead to disciplinary action which could result in dismissal, restitution, and/or civil or criminal legal action.
  - 4.4.2 KTS reserve the right to terminate our relationship with other individuals, organizations, and/or any third party working on our behalf if they breach this policy.
- 5. Responsibilities (Validation of Claims)
  - 5.1 the head of HR is responsible to validate the accusation made, and if needed, a legal counselor shall be consulted. All related documents shall be properly and confidentially filed.
  - 5.2 following validation of the accusations, the head of HR shall raise the matter to the CEO. If the complaint is against the head of HR, the case will be submitted directly to the CEO office.
  - 5.3 the CEO shall form a committee to study the case with extreme confidentiality.
  - 5.4 the results of the investigation should be linked to appropriate actions and follow-up.

Amendments of procedures should be recommended to avoid any circumstances the committee found central to the case.

## **5/B Reporting of learner's safety concerns.**

To avoid or minimize accidents, incidents, and to safeguard the environment from pollution and unnecessarily high energy, material, and water consumption, KTS has adopted the KIC environmental health and safety management system as it operates in the KIC Bahia Campus.

### **1. On-site Clinic:**

The student will consult the on-campus clinics in an emergency when they and the personnel need quick medical attention. Leading private hospitals in Abu Dhabi and Al Ain are in charge of managing the medical clinics in a professional manner. These clinics are furnished with all required medications and medical supplies to handle any emergency circumstances.

The clinic is open to both students and employees during business hours. Students and staff will be directed to the appropriate professional in critical circumstances where additional treatment is necessary but not within the clinic's scope.

The personnel at the clinic also takes part in educating patients through orientation workshops and lectures on topics like diabetes prevention, quitting smoking, managing stress and hypertension, etc.

For the benefit of both staff and students, the premises housing is kept safe and healthy. The premises is audited for safety features by the Civil Defense Department of the United Arab Emirates at least once a year.

### **2. Reporting and Managing Safety Issues**

In order to prevent accidents, illnesses, and environmental damage, all trainers, academic staff, staff, and students have a responsibility to see to it that those under their supervision have everything they need to work and study safely. They also have a responsibility to use good judgment, follow all environmental health and safety regulations, and watch out for one another. It is crucial to raise concerns with managers and/or EHS whenever something goes wrong, nearly goes wrong, or just doesn't seem safe.

### **3. Managing Safety Issues**

CEO, Heads of Departments/units, managers, supervisors, etc. are responsible for the health and safety of learners and employees engaged in activities under their direction or supervision. These managers must make sure that their workers or students:

- carry out their tasks in a careful and safe manner.
- abide by all applicable laws and acceptable norms.
- possess the protective gear or engineering controls required to carry out work safely.
- finish the relevant EHS-required training and have access to the training



documentation.

- if necessary, obtain additional job- or activity-specific training.
- Ensure that visitors are protected from and informed of any potential hazards in the area or workplace.

A trainer's or academic staff member's duties include adhering to all institutional, departmental, or office safety policies and procedures as well as following any safety instructions given by their specific supervisors.

- Adhering to the relevant provisions of health and safety standards and laws issued by oversight bodies.
- completing the necessary training.
- expressing worry about safety.

#### 4. Reporting Safety Issues

It is suggested for people to discuss any specific safety issues or concerns they may have with their immediate supervisor. The ideal method for handling safety issues is through the supervisory chain of command; however, if this strategy is unsuccessful in addressing a safety issue, you may speak with an EHS staff member directly. On request, EHS employees will keep the identity of the complainant private; but, in some cases, this restriction may preclude a comprehensive investigation and resolution of a complaint.

#### 5. Escalating Concerns

EHS makes an attempt to collaborate with workers and managers to address safety concerns. If these problems are difficult to resolve, EHS will follow an escalation process. When persistent problems are noticed, an escalation process is carried out.

#### 6. Trainer/academic staff and Staff

Employees are accountable for adhering to all Institutional, departmental, or office safety policies and procedures as well as any safety instructions given by their specific superiors. This includes all elements of applicable health and safety laws, standards, and regulations.

#### 7. Learners

When workers fail to fulfill these requirements, it is the supervisor's duty to take prompt action and launch a program of disciplinary measures to fix the issue, as described in the HSE manual.

EHS will collaborate with the Academic Director or CEO when students fail to meet the aforementioned requirements and the supervisor or adviser is unable to find a solution.

Learners are provided with HSE details during the Learners' orientation before the beginning of the course. Contact details are available in the [Learner Handbook](#).

Additional information for trainer/academic staff and staff is included in [HSE Manual](#).

## **5/C Learners' psychological counselling.**

KTS is dedicated to creating a culture in which safety and health are fundamental values that are embraced and upheld at all levels of the Institution.

The foundation of the Learner Affairs Unit is a dedication to meeting learners' needs as they work to realize their academic and personal potential. Personal counseling comprises assisting the learners with their unique study-related challenges or problems emerging from being an institute's learner. During the counseling process, the KTS Staff and learners establish a special, confidential working relationship. The unit of Learner Affairs' main objective is to encourage learners to develop more effective individual behaviors.

Support provided by counselor:

- Pastoral Care: Personal problems/depression.
- Counseling: Students receive individual and group counseling addressing problems that could affect how they adapt to institute.
- Admission Support. Help with the application process during Admission Assessments
- Assessment: Assessment of Learner's academic and learning progress holistically.
- Staff Assistance: Providing the employees with the counseling and assistance they need on an emotional level.
- Parent Consultation: meeting with the parent(s) to address the needs of the learners in counseling.
- Academic, professional, or personal counseling: Issues and challenges with study-work (dropping out of a course, transferring credits to different ATP, being dismissed from institute, applying for leaves, etc.).
- Goal in life: Sometimes, students struggle academically not because they don't comprehend the course subject specifically, but rather because of other issues, such as managing anxiety, having inadequate study skills, coping with loss or grief, transitioning to college, or their relationships with other students. Students who seek academic counseling might learn what might be impeding their academic achievement and receive assistance in taking appropriate action.

Learners are provided with counseling during the Learners' orientation before the beginning of the course. Contact details are available in the [Learner Handbook](#).

## **5/D Governing career pathways.**

A successful career development program, including career information, career planning, placement services, career counseling, and follow-up activities, must be made available to the students by the career officer. Learning about oneself and becoming approachable with the workplace are two steps in the career coaching process. Counseling gives students the tools they need to explore who they are, identify what they want, and comprehend what they are capable

of. As they concentrate on accomplishing their work goals, it also helps them build their personalities. Its offerings include, but are not limited to, the following:

- advice on creating a resume;
- methods for preparing for job interviews;
- advice on how to succeed in interviews;
- career options in fields covered by academic programs; and
- career planning.

The career and alumni unit is in charge of responding to specific inquiries from learners and offering career guidance. Internship, career preparation, and job services are offered to students and alumni via the career and alumni unit. The unit helps learners and graduates locate internships and jobs that appeal to them. KTS helps students determine their future training needs, become capable and confident in choosing and managing their jobs. To advance the career services offered to our students and graduates, the career and alumni officer is in contact via an official email.

Learners are provided with career pathways during the Learners' orientation before the beginning of the course. Learner career pathways are available in the [Learner Handbook](#).

#### **5/E Learner attendance.**

- Learners are required to attend all classes. Minimum attendance of 80% for each unit is required.
- If absence exceeds 70% without notification the student will be dropped from the unit
- If a student cannot attend a lecture due to circumstances beyond his or her control, the Trainer/Academic Director must be notified right away. To support his or her claim, official documentation, such as a medical report, will be needed.
- The Trainer has the right to refuse admission to a student who is more than five minutes late. The learner will be recorded as absent in this situation.
- All course requirements, including quizzes, assignments, projects, and midterm exams, must be completed by the learner.

Learners are provided with attendance info during the Learners' orientation before the beginning of the course. Full details on attendance is available in [Trainee Attendance Policy](#).

#### **5/F Gender segregation.**

KTS holds mixed-gender classes in which learners of any gender are welcome to take part in all educational activities.

#### **5/G Establishment, conduct and supervision of learner activities.**

By providing both academic and extracurricular activities, KTS creates an environment that is supportive of students' overall development. The Learner Affairs unit is responsible for establishment, conduct and supervision of learner activities.

- Students at KTS are encouraged to take part in a variety of social and scientific activities.
- The Learner Affairs unit also plans community gatherings like 'Iftar' during Ramadan.
- Other events like tournaments and entertainment are also included in the agenda.
- Each year, KTS organizes a variety of social and educational excursions for Learners.
- As part of their course work, students visit retail centers, fairs, government agencies, oil businesses, and corporate corporations.
- For Learners, the College arranges excursions to trade shows and festivals.
- As part of their field study, students are often taken on excursions to visit businesses like government agencies, oil companies, and corporations.
- As part of their field study, students are also taken on excursions to various businesses, including government agencies, oil companies, and enterprises, where they can become familiar with cutting-edge technology and operational practices.

#### **5/H Learner publications and learner operated media.**

1. Only authorized Learner representatives' are permitted to operate digital, print, and broadcasting operations at the Institute.
2. The unit of Learner affairs must receive a formal request before it may be approved.
3. The projected media's content must be in line with the Institute's mission, objectives, rules, and regulations.
4. The mission and goals of the Learner representatives' must be reflected in the information in the Learner media.
5. It is prohibited for groups and associations that are not affiliated with KTS to use the Institute's name in print or broadcast advertisements or to have a presence on the Institute's website.
6. The following rules must be followed by approved Learner media:
  - No sales or representation of businesses, people, or other entities is permitted; and
  - Before any corporate sponsorship or donation is mentioned in the media or on the website, it must first receive approval from the department of Learner affairs.
7. The Institute reserves the right to terminate the concerned media's access and lodging if they fail to abide by those regulations and procedures.

#### **5/I Governing disciplinary practices, learner grievances, complaints and appeals**

##### **Disciplinary Practices:**

Khawarizmi Training Solutions must establish and uphold a climate that promotes the academic and social wellbeing of its community and actively discourages actions that would jeopardize that wellbeing. Wherever feasible, complaints of misconduct are resolved amicably by discussion

between the Learner(s) and the pertinent staff member. Informal counseling, if provided early on in the process, may assist stop a problem from developing into a formal disciplinary issue. Where informal action has failed or is deemed inappropriate, official procedures must be used. All institute Learners who are enrolled in a course offered by the institution must follow these requirements.

These include employees who are just Learners in their position as employees. The institute is dedicated to implementing fair and equitable disciplinary standards, and the appropriate staff members always carry out actual disciplinary procedures in a professional manner. Disciplinary processes are designed to guarantee a quick and effective settlement of problems. The preparation of arguments and the examination of the facts surrounding the allegations are given a reasonable amount of time. The goal is to avoid needless delays while guaranteeing a thorough and equitable evaluation of the unique circumstances of each individual case.

The Representative of Learner Affairs is in charge of upholding Learner conduct, exclusion/suspension or expulsion of Learners for disciplinary reasons, and carrying out decisions to expel Learners for academic dishonesty within the confines of the regulations and procedures outlined in those articles. The Learner Affairs Department is in charge of informing Learners of the guidelines and expectations and making sure they are followed. Learners are expected to become familiar with the institute's requirements as outlined in the Learner Handbook and elsewhere. They should also be aware that any Learner facing disciplinary action has the right to be accompanied and represented at all pertinent stages of the process by a person of their choosing.

So far, the term "misconduct" has been used to refer to any type of conduct that jeopardizes the Institute's ability to operate effectively, honestly, and credibly. Here, the phrase is divided into two distinct categories of offenses: those committed by institute Learners while they are enrolled in classes there and those especially related to the evaluation and examination processes. Both are referred to as academic impropriety and misbehavior, respectively. In these protocols, they are dealt with differently.

### **Learner grievances, Complaints and appeals:**

The Institute strives to create a welcoming and liberal environment where Learners can learn and cultivate positive attitudes. Minor issues must not get in the way of a Learner's progress or ability to take pleasure in their Institute education. Any Learner who has an issue with a staff member is urged to speak with that staff person in order to resolve the issue. This typically yields the greatest outcomes and leaves no bitter aftertaste. If the issue is not resolved, the Learner talks it over with the unit of Learner affairs or the Academic Director. If a solution is still not reached, the Learner meets with the CEO and discusses the issue. Anonymous complaints typically go unanswered.

For Academic Appeal, please see the [Academic appeals policy](#)

For Non-academic complaints, learners are welcome to send emails to student affairs, or the NQ Coordinator/Supervisor; communicate with the Academic Director via email or other means.

Learner are also encouraged to discuss issues at committee meetings, or give useful suggestions or complaints about the institute services regarding program contents, teaching methods, learning resources, or any other issues.

### **5/J Retention, archiving and retrieval of all learners' records.**

KTS is committed to ensuring the integrity, confidentiality, and security of Learners' academic records and respects their right to personal information privacy. With the exception of use for its own official and educational purposes, such as the use by institute officials, other officials of other peer institutions, regulatory organizations, accreditation bodies and reviewers, funding organizations, the institute does not disclose any information regarding Learner academic records and information about Learner academic performances (such as transcript, academic status report, attendance reports).

The purpose of this policy is to specify the time frames for keeping various documents connected to the academic activities at KTS as below:

- The Learner record is stored in MS SharePoint accessible only to the NQ Co/Sup & the Academic Director. Additionally back-up is stored in external hard-disc updated every month and kept under lock and key with CEO office
- At the registration office, learner files must be housed in a secure space with appropriate access controls. The Learner file is moved to the archive storage area when the Learners become inactive as a result of graduation or study suspension. Learner files must be archived for at least fifty years and not be thrown away.
- Learner coursework evaluations must be kept for one unit after the one in which the course was delivered. The test scripts, assignments, projects, quizzes, and any other course assessments administered within the unit are all included in these documents. The instructor's office is where the coursework must be kept. These papers must be given to the department head, NC coordinator, or supervisor when a trainer departs KTS.
- The Head of Department, NC Coordinator, or Supervisor must keep track of learners' academic requests for one year. To make it easier to trace, these requests must be filed by unit. To Learners, other departments, or anyone else, the original forms should not be sent. Only email is to be used to inform the impacted department of the decision.
- The Registration Office must keep learner drop requests on file for a period of two years. To make it easier to trace, these requests must be filed by unit.
- The Head of Department, NC Coordinator, or Supervisor who implemented the registration request is required to keep the learner registration forms for a duration of two units.

- The CEO's office will keep all correspondence with local regulatory organizations (NQC, ADEK, MoE, etc.) in electronic format forever.
- Committee meeting minutes will be stored in electronic form for ever at the Academic Director Office.

The more details can be accessed under [Documents Revision and Version Control Policies](#).

### **5/K Access and transition of equity groups, or other priority groups.**

Equity in education refers to the idea that no person's personal or social circumstances, such as gender, socioeconomic status, background as a migrant, age, special needs, or place of residence, should prevent them from achieving their educational potential (fairness), and that every person should be able to perform at least as well as the average person (inclusion).

KTS is aware that some Learners may have unique challenges when trying to access education. We are devoted to making every effort to minimize these challenges as much as we can. We have selected priority categories of persons who are underrepresented in education in order to accomplish this. Our carefully created support and outreach programs will be directed toward those in these groups, with the goal of assisting both present learners and members of the community.

Each year, we evaluate our priorities utilizing. Our priority groups are categorized under the five headings below:

- Learners of determination
- Low income group
- People working with Police and Army
- People referred by Red Crescent
- People holding Fazaa or Homat Al Watan card

While all groups listed above are offered fee discounts, the additional academic provisions for [Learners of Determination.docx](#) are also available.

The Learner Affairs unit works to provide services to give them the opportunity to integrate educationally with the rest of their colleagues.

### **5/L Learner selection, enrolment and induction/orientation procedures, and initial assessment.**

The orientation program is required for every learner to attend at KTS. The goal of this orientation is to acquaint learners with all facets of KTS and life in general. The orientation is offered on the onset of their first unit. Orientation for new and transfer learners are intended to assist them in adjusting to the academic and social environment of KTS. The newly accepted Learners are given information about the facilities, resources, and services at the Learner Orientation Session.

This includes, but is not limited to:

- a description of the course,
- an introductory interview with the IV,
- policies and procedures for using the library,
- academic assistance for learners,
- crucial contact information,
- learner consent to understand the nature of the program and commitment to requirements,
- a list of required documents, and
- registration.

More detail on [Learners Initial Assessment and Interviewing Policies](#) are available.



## 6 INFRASTRUCTURE SERVICES

### 6/A Learning resource centre.

KTS has acquired access to the KIC Learning Resource Center (LRC) which provides wide range of printed books, digital resources, journal and publication for students access for learning related to their field of study. The KIC LRC provide a comprehensive resources and services to support the research, teaching, and independent learning. The KIC LRC has:

- 10,905 titles
- 19,408 copies
- 260 study spaces
- 10 major supported publishers
- 4 research databases

The KIC Learning Resource Center and KTS are housed in the same premises of KIC, Bahia Campus, thereby making convenient accessibility for KTS learners during their course of study.

KIC LRC related policies and manual are accessible below:

- [LRC Borrowing Policy](#)
- [LRC Copyright Policy](#)
- [LRC E-resources Usage Rule](#)
- [LRC Selection & De-selection Policy](#)
- [Learning Resource Center Manual 2021](#)

### 6/B Hardware and software maintenance including but not limited to replacement, upgradation, renewal of licenses, servicing.

### 6/F ICT infrastructure including minimum requirement for hardware, software and internet access speed, needed to develop, deliver and assess courses.

#### 1 Aims of the Computer Labs and Network

The aim of the computer labs and network at the Institute is to support the educational programs' curriculum and the Institute's general aims of equipping its Learners with the necessary IT skills and support.

#### 2 Selection of hardware resources

When selecting new computer hardware the following should guide the Institute:

- Open Systems, the hardware should be standard hardware that is compatible with industry standards.
- The hardware should be a well-known international brand.
- The management should standardize on a particular brand to enable easy

maintenance and technical support.

- The specification of the hardware should be the latest available so that it does not become obsolete too soon.
- The initial requirement for new hardware comes from the Head of academic department. The Head of IT Services puts the request to the Human Resource Manager who requests quotations and short lists the suitable offers. The CEO makes the final decision.

### 3 Selection of software resources

When selecting new software systems the following should guide the Institute:

- Open Systems Software - the software should be standard software that is supported by standard hardware and industry standard operating systems.
- The software should be from a well-known international vendor.
- The local supplier of the software should provide training for the Institute's technical staff and make technical documentation available.
- The local supplier should offer the Institute educational licenses.
- The Institute must make sure that all software purchased is genuine original software and that the license is sufficient for the whole population of the Institute.

### 4 Depreciation Policies and Inventory Control

- The hardware and software systems used in the Institute should be depreciated over a 36 months period. All IT hardware equipment must be replaced with new systems before their working life is over.
- Each item must be given a unique fixed assets code before it is formally used at the Institute.
- The Institute must use a computerized inventory control system that keeps a record of each fixed-assets item, its physical location, and the staff member who is responsible for that item.
- The Lab Technician is the person responsible for all hardware and software systems in the Institute.
- The Human Resource Manager must carry a physical inventory audit at the end of every year on all fixed assets; any discrepancies must be reported to the CEO immediately.

### 5 Maintenance and Technical Support

- The Institute's Computer Labs and Network must be maintained at a very high standard so that the practical sessions are smooth and uninterrupted.
- Maintenance request forms must be made available in every lab. Teaching staff must be aware of the location of these forms and must fill in a form immediately when a computer needs maintenance.

- The Lab Technician must check the maintenance folder in each lab twice a day (morning and evening) in case any computers need maintenance.
- The Lab Technician must inform the Head of IT Services if spare parts are needed or if the computer has to be sent to the vendor for repair.
- The Lab Technician is required to keep a certain number of computers on a standby basis (at least 5% of the total quantity in the Institute) to replace systems that cannot be repaired immediately.
- The Lab Technician must carry out monthly preventive maintenance for all computers and networks at the Institute.

## 6 Disaster Recovery Plan for IT

The main objective of this plan is to set preventive controls and recovery measures in case of disaster which may be caused due to:

### 6.1 *Uninterruptible power supplies:*

This occurs when there is fluctuation of power supplies which will affect badly the power supplies of computer machines especially if these machines are used as servers. This thread will affect badly the functionality of these machines and poses high risk.

- Preventive Measures

The Servers room must be equipped with UPS (Uninterruptible power supply) capable of providing short- term backup power to the main servers in case there is power shutdown or interruptible power

- Recommendations

Regular inspection must be done to the UPS to test functionality and its effectiveness. Stand by UPS should also be kept in case of emergency.

### 6.2 *Fire*

The threat of fire in the building, especially in the Servers room area, is very real and poses high risk factor. The building is filled with electrical devices and connections that could overheat or short out and cause a fire. The computers within the facility also pose a quick target for arson from anyone wishing to disrupt Institute operations.

- Preventive Measures
- Fire Alarms  
The Institute Building must be equipped with a fire alarm system, with smoke detectors scattered widely throughout the building. Smoke detectors must be placed in the floor where the servers' room is located.
- Fire Extinguishers  
Hand-held fire extinguishers are required in visible locations throughout the building. Staff must be trained in the use of fire extinguishers.

- Training and Documentation

Detailed instructions for dealing with safety are found in "Accommodation Policy" Administrative Handbook. Staff are required to read, understand and practice these procedures.

- Recommendations

Regular review of the procedures should be conducted to ensure that they are up to date. Unannounced drills should be conducted by civil defense once a semester.

Regular inspections of the fire prevention equipment are also mandated. Fire extinguishers are periodically inspected as a standard policy. Smoke detectors located in the Servers room floor must be regularly inspected and cleaned.

Servers and Storage devices must be kept in a dedicated air-conditioned and secured room.

### 6.3 *Earthquake*

The threat of an earthquake in UAE is low, but should not be ignored. The Building has 11 floors and it is not built to earthquake resistant standards. So we could expect damage from any predicted quake.

- Preventive Measures

Earthquakes can interrupt power and other utilities for an extended period of time. Standby power generators could be purchased or leased to provide power while other utilities are restored.

- Recommendations

Servers & Storage devices should have plastic sheeting available in the Servers room area ready to cover sensitive electronic equipment in case the building is damaged. Protective covering should also be deployed over Storage devices to prevent water and wind damage. IT technicians should be trained how to properly cover the equipment.

### 6.4 *Computer Crime*

Computer crime is becoming more of a threat as systems become more complex and access is more highly distributed. With the new networking technologies, more potential for improper access is present than ever before.

Computer crime usually does not affect hardware in a destructive manner. It may be more insidious, and may often come from within. A disgruntled employee or a Learner can build viruses or time bombs into applications and systems code. A well-

intentioned employee/Learner can make coding errors that affect data integrity (not considered a crime, of course, unless the employee deliberately sabotaged programs and data).

- Preventive Measures

All systems should have security products installed to protect against unauthorized entry. All systems should be protected by passwords, especially those permitting updates to data. All users should be required to change their passwords on a regular basis. All security systems should log invalid attempts to access data, and security administrators should review these logs on a regular basis.

All systems should be backed up on a periodic basis. Those backups should be stored in an area separate from the original data. Backups should be saved in DVDs and these must be kept in fire proof cabinet.

- Recommendations

Continue to improve security functions on all platforms. Strictly enforce policies and procedures when violations are detected. Regularly let users know the importance of keeping their passwords secret. Let users know how to choose strong passwords that are very difficult to guess.

Improve and implement network stronger security mechanisms over the network, such as one-time passwords, data encryption, and non-shared wire media.

## 7 Safety and Security of the Computer Labs

The Lab Technician is responsible for the installation of anti-virus shield software on all computers at the Institute. This software must be of the type that updates itself through the vendor web site online, every day.

The Lab Technician must carry out regular virus scans on the hard disk(s) of all computers in the Institute (monthly).

The Lab Technician must set up all computers to have a password on the CMOS setup in order to prevent Learners from changing the system configuration.

## 8 Network Security

Access to the Institute servers must be through valid user names and passwords.

The campus wide network, which is connected to the Internet, must be physically separate from the Institute's administration network which hosts the Learners Registration System, the Accounting and Inventory Control Systems, the CRM System,

Library System and the Short Courses Registration System.

As a precautionary measure the computers in the administration network are not connected to the Internet.

The Institute's Internet dedicated line must be configured to go through ETISALAT proxy server. This is to provide first level security to prevent access to illegal sites.

Certain staff members monitor access to the Internet from Learner terminals through special software. This is to prevent access to illegal sites as defined by the UAE Ministry of Telecommunications or ETISALAT.

## 9 Maintaining and Backup of KTS MIS

The KTS Management Information System (MIS) consists of the following subsystems:

- a) SIS (PeopleSoft)
- b) LMS (Blackboard)
- c) The LRC Management Systems
- d) File server for staff and Learners
- e) The Web server, email server, and staff intranet system

### 9.1 Backup

Backups must be taken on weekly basis. The web site backup must be taken every time the site is updated.

The responsibility of the backups for the systems is for the IT Services manager/IT technicians while the backup for the web site is the responsibility of the Webmaster.

Data of these systems must be saved in proper storage media like cloud and/or DVD and kept in fire proof cabinet which is provided for this purpose in the IT Services manager office.

Head of IT Services and IT technician must ensure taking the following steps while making backup:

1. IT technicians should make multiple copies of backup data from different time intervals. This is known as a 'generational' backup. In this case three generations of back-up data would be kept known as the grandfather/father/son.
2. Back-up data must include both applications software and systems data.
3. Labels on the DVD must be made for copies of the back-up media clearly mentioning what and where the data would be kept.
4. Testing the process of restoring backup data from time to time will ensure that these data can be restored easily when need arises.

### 9.2 Maintenance

The Lab Technician is responsible for the day-to-day maintenance of the IT equipment for admin and teaching staff. In case of a hardware or software failure then the staff member must fill the technical support request form and give it to the Lab Technician.

### 9.3 Updating of IT Resources

The IT equipment that constitutes the hardware part of the KTS MIS (staff PCs, printers, network equipment, other hardware equipment used for multimedia like; special workstations, dual screens, dual processors, tablets, 3D mice, cameras and digital pens and other equipment are also be kept up to date.

Generally speaking the equipment must be replaced every three years (depreciation over 36 months), however; Staff PCs and hardware equipment used for multimedia may require updating during less period. In these cases, the equipment may be replaced with newer ones even before the three years life cycle is over, however, the CEO must approve such cases. Admin and Teaching staff members are required to write a note to the Head of IT Services and request upgrade/replacement for their PCs.

### 9.4 Safety

All staff members are required to switch off all their PCs before leaving the Institute each day.

## 10 Misuse of the Institute IT resources

The Institute IT resources are not abused in any way by the Learners or staff. Examples of Misuse of the resources may one but not limited to the following:

1. Users attempt to breach internal or external security systems.
2. Use of network for criminal purposes (credit cards, personal access codes, etc...)
3. Unethical use of internet services including accessing unauthorized websites and hacking person's files, email account and network resources.
4. Excessive use of broadcasting functions such as voice, email, video messages which don't respect social, cultural, political and religious values of the UAE.
5. Storing unauthorized material (movies, software, or music) on the network drives.
6. Relocation/transfer of IT resources without prior authorization.

Suspected violations will be reported and investigated by the departmental heads that will proceed by considering these violations as breaches and taking appropriate disciplinary actions according to the staff disciplinary procedures.

## 11 Periodic Review of this document

The aims and objectives of the computer labs and network at the Institute, and the procedures for their maintenance, updating, and security must be reviewed at the end of every academic year.

The CEO and the Quality unit are responsible for the review of the aforementioned procedures based on several investigations and surveys such as the Lab Technician report, the Head of academic department reports, and Learner surveys. Therefore this document must be updated in July of every year.

### **6/C Use of technology resources.**

The Institute has clear policies for Learners and staff regarding the use of the technological resources i.e. Computers, network, Internet, .etc. In Learner Handbook these policies consider misuse or unauthorized use of computers as gross misconduct which may result in strong disciplinary penalties against the Learners. Learners are required to practice ethical use of information technology available at the Institute. Similarly in the Faculty Handbook there are policies that consider abuse of IT as a violation of the Institute rules and regulations which may lead to penalties like probation, suspension, and dismissal as per the staff disciplinary procedures.

The following is the policies regarding misuse of the Institute IT resources:

The Institute IT resources are not abused in any way by the Learners or staff. Examples of Misuse of the resources may one but not limited to the following:

1. Users attempt to breach internal or external security systems.
2. Use of network for criminal purposes (credit cards, personal access codes, etc.)
3. Unethical use of internet services including accessing unauthorized websites and hacking person's files, email account and network resources.
4. Excessive use of broadcasting functions such as voice, email, video messages which don't respect social, cultural, political and religious values of the UAE.
5. Storing unauthorized material (movies, software, or music) on the network drives.
6. Relocation/transfer of IT resources without prior authorization.

Suspected violations will be reported and investigated by the departmental heads that will proceed by considering these violations as breaches and taking appropriate disciplinary actions according to the staff disciplinary procedures.

### **6/D Hardware and software support.**

### **6/G Provisions for access to its ICT support services to all stakeholders regardless of their geographical location.**

KTS is committed to providing technical support to both Learners and staff associated with the Institute.

This technical support extends over software and hardware provision, maintenance, and upgrading. Examples of the support provided include:

- Use of the Institute's website to enable faculty to connect to the KTS systems whilst off site.
- Complimentary software package downloads for both Learners and faculty to assist in their



studies. These are likely to include Typing Master, Turbo C+, DacEasy, virus detection, Microsoft office, and related packages needed by Learners to complete their work satisfactorily

- Detection and facilitation of IP addresses for Learner's hardware to be connected to network services.
- Provision of Wireless Internet Access during Learners stay at the Institute.
- Regular virus cleansing prior to Learner access to internet facilities.
- Access to e-learning materials and local / global learning resource centers, as subscribed to by the Institute.

It is acknowledged that in addition to using the hardware and software provided and sited within KTS, Learners may also possess and use hardware and software offsite. The general policy of KTS is to support and encourage Learners in offsite IT use. Elements included in this general policy include:

- Downloading of specified software packages onto Learners owned hardware on request. The range is constantly reviewed, but initially includes Typing Master, Turbo C+, DacEasy, antiviral shield (Mcafee) and other software required for course completion
- Access to KTS courses which are electronically available onto its website [www.khawarizmi.com](http://www.khawarizmi.com). The Courses website contains course plans, lecture notes, sample of coursework components like; quiz assignments, midterm exams and sample of final exam papers. The course website also enables Learners to send inquires and questions to the course leaders and get instant feedback. These courses are accessible to Learners on and off-site but they require the Learner to use his/her usernames and passwords which is provided by the Head of Admission & Registration.
- Access to those elements of the LRC database which are available electronically.

### **6/H Use of digital media for course delivery.**

KTS has devised policies and procedures governing the use of digital media for course delivery with clear responsibilities.

The related policies are available in [KTS-E-Learning-Manual](#).

### **6/E Storage and backup of learner and employee digital records.**

### **6/I Protect the integrity and confidentiality of its institutional records, administrative networks and instructional systems.**

Learner and Employee records are maintained using Microsoft One-Drive and Cloud Storage Technology.

Additionally, KTS has devised data security policies to protect the integrity and confidentiality of its institutional records, administrative networks and instructional systems.

The [Data Management and Protection Policies](#) are accessible.

## 7 FINANCIAL MANAGEMENT

### 7/A Internal auditing and financial control that are aligned with accounting system and the annual external audit.

### 7/D External auditing.

### 7/E Budgeting.

- **Purpose**

- The purpose of the Financial Administration Policy is to provide the mechanism for ensuring the propriety of financial transactions conducted by Khawarizmi Training Solutions, its branches, and officials, and that access to financial documents and records is restricted to authorized individuals.
- In order to achieve the mission and objectives in a cost-effective manner, it is critical that financial resources are used judiciously and as per approved guidelines.

- **Scope**

- Financial Administration Policy covers the following areas of financial activity:
  - Approval of financial documents
  - Access to financial systems
  - Retention of financial records
  - Budgeting
  - Internal and external auditing
  - Insurance
- This policy applies to all staff and students of the Institute. This policy also applies to any relevant external bodies as indicated in the Procedure below.

- **Policy Statement**

- This Policy establishes a system of controls and checks to regulate financial functions, in order to:
  - Institute appropriate mechanisms for ensuring financial discipline and propriety in the conduct of financial transactions
  - Maintain accounts and prepare financial statements in accordance with international financial reporting standards
  - Prepare management information that shows the financial impact of activities and programs
  - Advise and help administrators accomplish the mission through the judicious use of financial resources.
- The KTS Board of Trustees reserves the right to approve/decide on any conditions/circumstances and/or exceptions outside the conditions stated in this Policy in the best interest of the Institute.

- **Procedure**

- Authorities and Financial Reporting
- The Director of Finance (DOF) along with the business units executive managements are ultimately responsible for the business units financial matters to the extent defined in the Limits of Authority Manual. The DOF and the business units executive managements

delegate to the Chief Accountants the operational management of financial matters.

- To provide for the orderly performance of the unit's business, the Board of Trustees (BOT) has laid broad guidelines for the approval of financial documents in the Limits of Authority Manual.
- All financial records should be promptly updated with proper accounting transactions recorded in their relevant sub ledger, ledger accounts, properly supported with relevant documentation and approvals. These financial records should be prepared on accrual basis. Monthly accruals and provisions are recorded.
- All payments shall be cleared by the DOF and Chief Accountant. In case of absence, the next lower authority shall substitute provided different from requestor and authorizer.
- The DOF shall be responsible for financial reporting system designed to efficiently manage, monitor and control financial operations and resources.
- Monthly financial reporting comprising of the following shall be prepared and provided, by the 10th of each month for the previous month's financial operations, to the management.
  - Balance Sheet
  - Profit & Loss (P&L)
  - Cash flow statements
  - Budget to actual comparison: year to-date and similar period of the previous year
  - Accounts Receivable and Payable Ageing
  - Any other standard and *ad hoc* reports requested.
- The Finance Department shall ensure that, at all times, financial data are up-to-date, complete, accurate and properly supported ensuring its integrity at all times.
- The Finance Department shall ensure its reporting capability on regular and *ad hoc* basis.
- To meet such objectives, all transactions performed during any business day and processed through sub ledgers, shall be batched to the General Ledger module on the designated dates for KTS where invoices are booked on a semester basis.
- Reconciliation between GL and corresponding sub-ledgers are performed to ensure that all data recorded in the system are posted to GL and no irregularities exist. For cash accounts this shall be done on a daily basis on the following day. For other accounts, prior to monthly closing.
- Segregation of Duties
  - Adequate segregation of duties is critical to effective internal control. Segregation of duties provides necessary checks and balances to deter fraud, detect errors, and prevent concealment of irregularities.
  - In general, the approval function, the accounting/reconciling function, and the asset custody function should be separated among employees. When these functions cannot be separated, a detailed supervisory review of related activities is required as a compensating control activity.

- Responsibility and Accountability for Transactions
  - The individual who approves any transaction that constitutes a commitment between the business unit and an external party is responsible and accountable for ensuring that:
    - He/she has the authority to approve the transaction or execute a contract;
    - Where required, appropriate review has been performed and approval has been obtained before any commitment is made;
    - The transaction conforms to the business units' policies;
    - Funds for the transaction have been allocated or are otherwise available within regularly approved budgets;
    - There is no real or apparent conflict of interest on the part of the approving individual or any other individual or organization involved in the transaction; and
    - Where a real or apparent conflict of interest does exist, the issues are resolved prior to entering into the transaction or contract.
- Improper Transactions
  - An employee must not prepare or approve a business transaction that is incorrect, inappropriate, and fraudulent or in violation of policy or governmental law or guidelines; nor grant inappropriate system access to any unauthorized person.
  - An employee with knowledge of an improper transaction or system access that has been inappropriately granted must immediately report the occurrence to his/her immediate supervisor or Internal Auditor.
- Access to the Financial Systems
  - Business unit employees with online responsibilities are accountable for any inappropriate transactions or access, and inappropriate use of financial information. The DOF is responsible to authorize users' access to financial information based on pre-defined access rights defined in their job profiles.
  - Employees shall be assigned unique IDs, which are not to be shared. Users are responsible for maintaining the security of IDs and password. Information is to be kept confidential and to be shared only with authorized employees.
  - Access to the financial systems shall be granted where there are valid business reasons.
  - The following principles shall be applied when granting access:
    - Employees are granted access to financial systems according to their roles and responsibilities as approved by their supervisor;
    - Temporary employees may be granted access to financial systems in limited situations;
    - Consultants and external parties (auditors) may be granted read only access to the business unit's financial systems in limited situations considering the concerns over security, maintenance and monitoring of such activity;
    - System access will be terminated immediately in the following instances:

- An employee with access to the financial system has tendered his resignation or has been terminated;
- A temporary employee has reached the specified termination date;
- The consultant/external party has reached the specified termination date.
- An employee who has taken other post within the business unit where using the financial system is no longer part of the employees' tasks.
- The department head/supervisor is responsible for notifying the DOF who shall notify the appropriate system administrator when user access is to be terminated;
- The DOF and the appropriate system administrator are required to maintain documentation on file to support the financial systems access requests; and
- Department Heads and Supervisors request access to financial systems for employees, temporary staff and external parties have responsibility for ensuring that the users are adequately trained on the system and on maintaining security.
- Retention of Financial Records
  - Financial records must be maintained in a manner that supports operational needs and internal control directives, and must also meet any regulatory requirements. Such records must be retained for a period of time necessary to meet the operational, administrative and legal requirements of the business unit, and must then be destroyed according to established destruction schedules.
  - Document retention standards and systems must ensure that transactions and related authorizations are fully supported in the event of an audit, litigation or other internal or external action.
  - Records retention and disposition schedules apply to records of all formats, including paper records, computer files (e-mail, word- processed documents, spreadsheets and databases). The Institute encourages the use of storage methods that eliminate waste, reduce cost and promote efficiency. Duplicate records must be eliminated to the extent possible.
- Ownership of Company's Records
  - Financial records are the property of the Institute and do not belong to those who prepare such records or to their official custodian. No employee has any personal right to financial records, including those records that the employee helped develop or compile, and no employee may remove or copy such records for personal use.
- Accessibility of Records
  - Financial records must be easily retrievable for examination by authorized personnel. The DOF shall ensure that the finance department employees follow procedures for labeling and record keeping ensuring that documents can be retrieved in a timely manner, and are responsible for retrieving records upon request.
  - Access to electronic records shall be subject to the Institute's policy governing information access and security.
  - Retention Categories, Retention Periods, Storage and Disposition
  - Record Retention Categories

- Records fall into one of the three record retention categories
- Archival records (permanent);
- Non-permanent records requiring retention for legal or audit purposes; and
- Routine administrative records.
- Retention Periods
- The Chief Accountant in consultation with the DOF and the Institute's legal consultant shall maintain functional retention and disposition schedules, grouping together records as appropriate and ensuring that the schedules comply with local legal requirements.
- Financial record schedules are primarily calendar-driven; that is, the retention period begins on the last day of the fiscal year that the records were created.
- While most financial and transactional records are non-archival, the DOF may determine that certain categories of financial records are of permanent value to the business unit, and may arrange for appropriate storage of such records beyond their active period.
- Storage Standards and Locations
- Active records are those needed to support the current business activity of a department, division, or institution. The active period for financial records ends on the last day of the fiscal year following the fiscal year in which the records were created. However these records are retained in the finance department for a period of additional one year after which they are transferred to the warehouse for storage.
- At the end of the active period, records must be labeled and stored for the balance of the retention period according to Institute's guidelines and procedures.
- The records custodian is responsible for appropriately labeling and arranging for suitable storage of inactive records. The business units' dedicated records shelving facilities are the preferred locations for storage of record copies of non-archival financial records that require retention beyond their active lives. Arrangements for storage at these facilities must be made through the DOF Office.
- Regardless of where inactive records are stored, the originating department is responsible for maintaining files or logs describing the contents of stored records, and for retrieving records upon official request.
- Disposition of Records
- At the end of the appropriate retention period, inactive records, including transaction records, inactive agreements and other non-permanent records, shall be destroyed according to the applicable schedule. Departments must obtain authorization for such disposal from the DOF office. The disposal process and methods should preserve the confidentiality of documents through the final point of disposition. Records containing personal and confidential information must be shredded. Non- confidential paper records may be put into recyclable containers.
- If litigation is pending, threatened or anticipated, records bearing on such litigation must not be destroyed except by permission of the Institute's Legal Advisor. Similarly, documents under audit must not be destroyed. The Chief Accountant is responsible for notifying DOF office of any changes from the standard record retention period necessitated by audits or litigation.

- Budgeting
  - KTS prepares its yearly budget for the approaching financial year four months prior to the closing of the current year or in accordance with the guidelines and deadline stated by the management.
  - The Director of Finance is primarily responsible for preparation of the budget, and shall nominate appropriate team member from the finance as a budget assistant/coordinator to assist in the process.
  - The budget team shall seek detailed input from all concerned departments to incorporate the best likely scenario and updated data into the budget.
  - The P&L budget shall be categorized under proper group-heads like revenue, direct costs, admin expenses, and depreciation and finance charges. Each group shall have a detailed accounts level classification with department-wise segregation. The periodic classification shall be on a monthly basis.
  - Detailed workings where applicable like summary of student enrollment for revenue, payroll summaries for cost and expenses shall form an integral schedule to the budget.
  - The Capex budget shall have a clear item wise description and monthly spend bifurcation of assets planned for the budget period.
  - The DOF after review of the finalized budget shall send the same to the Board for approval.
  - The Chief Accountant shall prepare a monthly actual vs budget analysis and send the same to the DOF for review and report to the management.
- External and Internal Audit 5.10.1
  - External Audit:
    - KTS shall employ a reputed audit firm to carry out its annual audits, which shall advise the business unit on updates in IFRS standards, and review its implementation.
    - The audit schedules with the external auditors, apart from the final year end audit, shall also include semi-annual review to ensure proper check on all aspects of the accounting process.
    - It is the policy of KTS that the year-end closing is accomplished in a timely manner, and the annual audits are scheduled before the 20th of the following month after the closing date.
    - The Director of Finance shall coordinate with the audit manager to finalize the schedule, have an understanding on the approach and new requirements, and ensure that the recommendation and qualifications if any during the mid-term audit has been satisfactory resolved.
    - The Chief Accountant shall attend to the auditors and coordinate with the finance team to ensure smooth completion of the audit process, that all requirements of the auditors are met, and any issue of concern is promptly reported to the DOF.
    - The GL Accountant and the Chief Accountant shall carefully review the draft financials received from the auditors, the figures and the statements made therein, and give their feedback to the DOF who shall ensure that all key aspects are covered and verified before

giving his approval to the draft.

- The auditors will issue four original copies of the audited financials for record and submission purposes.
- Internal Audit:
  - The Internal Audit function of KTS is conducted by the Group Internal Audit team of Abu Dhabi University Holding Company.
  - On an annual basis, the Group Internal Audit Team prepares a risk-based internal audit plan. This plan is approved by the BOT's Audit Committee.
  - The plan/scope of audit includes any of KTS's strategic, operational, or financial functions, and the audit is scheduled in the second half of each financial year. In its periodic meetings, the Audit Committee reviews, discusses, and endorses, all the KTS-related audit reports, submitted by the Internal Audit Team.
  - On a periodic basis, the Audit Committee reviews progress of audit works against the approved Internal Audit plan, in addition to any needed changes in coverage and scope.
  - The Internal Audit Team periodically follows up with the process owners to ensure implementation of the agreed action plans to mitigate the risks and other corrective measures identified in the Internal Audit reports.
- Insurance
  - KTS policy is to provide adequate insurance to protect its assets and medical insurance for its employees. The following insurance categories have been identified for this purpose:
    - Property Insurance: This is to insure all fixed assets of the business unit from natural calamities and includes Building, Furniture, Fixture and Fittings, and Electronic Equipment. It also aims to provide for loss of annual revenue against such calamities.
    - Cash Insurance: This is to protect the business unit's cash held in safe or while in transit due to theft or fraud.
    - Fidelity Insurance: This is to insure against loss arising out of fraud or dishonesty by employee for personal gain
    - Public Liability Insurance: This is to protect the business unit from payout claims and legal cost made by clients or third party in the event of injury, or property damage, in the course of the business activity.
    - Medical Insurance: KTS provides health insurance cover to its employees as mandated by the law. The insurance is extended to the spouse, and up to 3 children of the employee under the age of 18.
  - The procurement department shall be primarily responsible for renewals, negotiating, securing approvals, and contracting of best terms.
  - The procurement department shall evaluate the policy requirements on an annual or need basis, if new policies are required or if the continuity of any existing policy has become irrelevant, and shall execute necessary changes in the best interest of the business unit.
    - **Responsibilities**



#### Compliance, monitoring and review

- The Director of Finance is responsible to establish the procedures and controls for the Financial Administration Policy in coordination with the executive management of the business unit. The responsibilities are entrusted to various positions within the finance department and reference is made to the following financial policies:
  - Revenue and Accounts Receivable Policy
  - Cash Management Policy
  - Accounts Payable and Expenses Policy
  - Procurement Policy
    - **Reporting**
- The reporting process is defined in details in the function wise policies as referred to above.
  - **Records management**
- The records management process is defined in details in the function wise policies as referred to above.

#### **7/B Authorize CEO / CEO for the overall responsibility for approving and controlling expenditure.**

The responsibility for approving and controlling expenditure is extended from the Chairman to the CEO of KTS through the 'Authority Matrix'.

The Authority Matrix covers all area of operation and delegated authority with limits where applicable to relevant personnel at KTS.

Through this 'Authority Matrix', the authorized personnel are responsible and accountable for their obligations towards the operational expenditure and control for the smooth functioning of the institute.

#### **7/C Receipt, deposit and safeguarding of ATP funds including those from revenue-generating activities.**

##### 1. PURPOSE

The purpose of this procedure is to provide clear guidelines for cashiering activities for collections, disbursements, bank deposits, and petty cash account, to ensure that proper controls exist and cashiering operations are efficiently managed in order to serve the business unit's overall academic, administrative and financial goals.

##### 2. SCOPE

This Policy aims to provide guidelines for the Cashiering Department and related staffs: Cashiers, Receivable Accountant, and Internal Auditor.

The DOF is entrusted with approvals and its continued improvements.

It is adopted and applicable to all KTS branches.

### 3. POLICY STATEMENT

The Cashiering Department is primarily responsible for collection of amounts owed to business units' toward customer fees, and other receivables like advances reimbursement, proceeds from sale of assets, etc., authorized petty cash payments, and cash/bank reconciliation.

Only authorized business unit personnel and other individuals or groups who have been designated in writing may collect money on behalf of the business unit.

Immediate and accurate recording of collections in form of cash, cheques, and card payments, is essential for accounting and accountability purposes.

Petty cash payments shall be issued based on approved documents only.

Monthly bank reconciliation should be prepared.

The Internal Auditor shall tally the system cash balance with the physical cash and verify that full amount of collection is deposited in business unit's bank account on a daily basis.

### 4. PROCEDURE

#### 4.1. Collections

4.1.1 For the purpose of collections, the cashier shall retain and update the following registers based on the mode of payment:

Cash register

Check register

Debit / credit card register for collections conducted through debit/credit cards.

4.1.2 Cash collections shall be supported by appropriate supporting document depending on the nature of payment.

4.1.3 Cashier(s) should log on to the system using a unique account. No employee shall record any transaction on the system under another employee's ID. Each cashier then shall have a distinct cash/check register in which all transactions performed under this specific user name are listed and accountable for.

4.1.4 In cases where it is difficult for the client to pay in local currency, the cashier shall accept payment in easily convertible foreign currency at an exchange rate favorable to the business unit.

4.1.5 Cash collections: In cases whereby the mode of collection is cash, the cashier is required to do the following:

- A. The cashier shall count the money received in the presence of the payee.
- B. Identify and return forged currencies, if submitted.
- C. Update the cash register and the respective customer account through an appropriate accounting transaction as detailed in the following table

Dr./ Cr. Account Description

Dr. Cash collections

Cr. Customer (student, staff, etc.) Account Receivable

4.1.6 Issue the customer a system generated receipt, signed and stamped by the cashier.

4.1.7 A copy of this signed receipt by both the cashier and the payee, shall be kept on file.

4.1.8 Cash collected shall be placed in a secure closed cabinet and attended at all times.

4.1.9 Cash in safe and cash in till counters shall not exceed, at any time, the insured value.

4.1.10 The cashiering session shall be from 10:00 a.m. to 7:00 p.m. of each business day, after which the cashier shall close the cashiering session, count the cash in tills and safe, reconcile it to the cash register and transfer the balance to the bank, reducing cash exposure risk towards theft and fraud.

4.1.11 Cash shortages or excesses are recorded to the cash shortage/excess account in the general ledger and the cash register is updated accordingly.

4.1.12 At month end, if cash shortages occur then they are settled by the cashier.

4.1.13 An intermediary account in the balance sheet shall be held for recording excess cash balances identified during the year. Excess are transferred to "other Revenues Account" in the profit and loss statement after a year of incurring this excess.

Checks, debit and Credit Card Collections

In cases whereby the mode of payment is check, the cashier is required to do the following:

4.2.1 Ensure that the submitted check is written properly with regards to the date, amount i.e. in numbers and words and it is in the name of the business unit.

4.2.2 Issue the payee a formal receipt generated from the system showing the amount paid, check number, bank drawn on, realization date, and purpose of payment. This cash receipt shall be signed by the cashier. A copy of the signed receipt is to be filed.

4.2.3 The cashier shall not accept endorsed or third-party checks.

4.2.4 Postdated checks are filed according to realization date.

4.2.5 At the closing of each cashiering session, the cashier is required to generate, from the checks register system, the check collections of the day and reconcile it to the existing checks on hand and bank deposit slips. Un-reconciled items shall be investigated and treated properly. The Finance Director shall be kept informed of such cases and shall report it to the CEO.

4.2.6 All cheques, current or postdated, are first recorded in the financial PDC module, and transferred to bank register upon clearing in the bank.

#### 4.3 Treatment of PDC

Postdated cheques received will be recorded in add-on PDC module. These will not be reflected in the main accounts until posted. The receivable accountant will timely deposit the PDC on its due date and post the transaction to the main account upon clearance in the bank.

#### 4.4. VAT collection:

The business unit provides instalment facility to the student for payment of fees. The instalment facility is not extended to VAT. Full amount of applicable VAT is to be collected and applied during first instalment payment. i.e. the receipt has first to be applied 100% against VAT, and the remaining amount should be applied against the course fees. The cashier should strictly implement this policy and clearly communicate this to the students.

#### 4.5. Depositing Collections in Bank Accounts

##### 4.5.1 Prior to transferring the collections to bank account, the cashier shall:

Generate from the system the cash, check and debit / credit card registers, count the cash to be transferred and tally with the system collection report.

Reconcile cash and checks on hand, Debit and Credit card slips to their respective registers. Hands the cash and checks to the bank authorized collection representative along with the deposit slip in the envelop provided by the bank for that purpose.

4.5.2 Acknowledged deposit slip by the collection representative should be filed in a serial order by the cashier in a separate file maintained for that purpose.

4.5.3 Cash transferred to banks, upon clearance, shall be debited to bank accounts.

#### 4.6. Verification of Collections and Deposits

4.6.1 The cashier shall send the system generated cash/check/cards collection report signed by him/her along with all the receipt vouchers, deposit slips, to the internal auditor for verification on a daily basis.

4.6.2 The internal auditor shall verify that all the collections are tallying, receipt vouchers are in a serial order and signed by the cashier and the payee, and counter-verify the balances in the system.

4.6.3 The internal auditor shall check that the cash collection is not utilized for issuing any payments and that the full collection amount is deposited in the bank by the next working day.

4.6.4 All deposits, cash/check/and bank cards deposit/transfer to the bank shall be counter-verified with the bank statement.

4.6.5 The internal auditor shall make a monthly review of all the cheques due for the period have been either timely deposited or replaced by cash. Under special cases where the deposit of the cheque is requested to be postponed, verify that it has been properly approved.

4.6.6 Verify that the dishonored checks have either been re-deposited and cleared, or have been replaced with alternate payment mode.

4.6.7 The daily collection report shall be signed by the internal auditor post verification, and filed.

#### 4.7 Cash Payments, Refunds and Advances

##### 4.7.A. Payments to vendors/ petty expenses

a. All cash disbursements shall be made through the main petty cash account held with the cashier or nominated finance staff. It is strictly prohibited to pay vendors-from the cash collections account.

b. Payments shall be conducted towards official and original invoices in the name of the business unit. These invoices shall bear the name of the service provider, date, and detailing items/services procured as to description, unit cost, quantity, and totals.

c. In cases where business is conducted with freelancer/small supplier having no official invoice or receipts, the initiating department shall prepare a voucher with approval from the dept. head and finance director, and with acknowledgement from the supplier.

d. The petty cash payment limit is authorized as below:

For petrol bills – AED.1,000/- per transaction

For Kitchen purchases – AED.1,500/- per transaction

Apart from the above two exceptions, only payments up to AED.500/- can be paid from the petty cash; payments of above AED.500/- should be paid by check.

e. In cases where the invoice exceeds the set limit above and need to be paid in cash, the payment in cash shall be pre-authorized by the Finance Director.

f. It is strictly prohibited to split transactions into two or more transactions to evade the set limit for cash payment.

g. The cashier shall issue a payment voucher and obtain the signature of the vendor or his representative as evidence of receipt of payment.

h. The related original invoice is stamped as paid and date signed by the cashier.

#### 4.7.B. Refunds to students

- a. Cash Refunds up to the limit of AED.500/- to students shall be conducted strictly from the petty cash account and follow the same procedure as in section A.
- b. Refunds to students shall be supported by formal refund request application from the student and should be issued only after approval from all concerned departments is obtained.
- c. Refunds to students exceeding AED.500/- shall be through checks.

#### 4.7C. Advances to employees

- a. Advances to employees for personal use are strictly prohibited.
- b. In some cases, the Finance Department shall provide advances to employees to procure services and purchases on behalf of the business unit.
- c. Advances to employees for official task shall be formally requested by department heads stating the purpose, amount needed and employee authorized to receive such payments.
- d. Advances to employees shall be through checks otherwise the pre-approval of the Director of Finance is required.
- e. The cashier shall not accept endorsed checks by employees against advances. These checks shall be cashed by the eligible employees from the bank.
- f. If the receiving employee does not report back to the Finance department, within the month, then the Finance Department shall deduct the advance from the employee's monthly salary.

#### 4.8 Petty Cash Account Maintenance and Replenishment

- A. The cashier shall retain a petty cash account within the Finance Department to cater for the business unit's daily cash needs. This petty cash account shall not exceed at any time the set limit of AED.40,000/- (KTS AD – 20K, KTS AA – 20K)
- B. The Finance Director and Budget managers shall review and sign all invoices/bills and the petty cash account prior to requesting replenishment to ensure that all supporting documents are on file, stamped paid, recorded and reconciled to the petty cash register. The Finance Director shall also review the nature of the payments conducted through cash.
- C. The replenishment request shall be forwarded for approval. A check is prepared and signed as detailed in the check signing authority and limits of Authority Manual.
- D. An insurance Policy shall be obtained to cover this petty cash account.
- E. Upon replenishing petty cash account, the following transaction shall be made:

Dr./ Cr.Account Description

Dr. Expenses Account  
Cr. Petty cash owner account (under payables)

#### 4.9 Security Related Issues

- A. Cash in drawers shall be attended at all times and placed in a secure closed drawer.
- B. The Finance Department shall be equipped with a fire-resistant secure vault placed in a secure locked room.
- C. The business unit shall have a vault that is provided with two keys, both of which shall be used to open the vault. Spare set of keys should be kept with the DOF. These keys are not to be kept on premises during holidays, vacations and off working hours.
- D. The vault key shall be with the Cashier. A Spare key shall be given to the DOF which can only be used in the absence of the cashier.
- E. At the end of each business day, cash, checks and Dr/Cr Card slips not transferred to bank shall be placed in the vault and locked after proper reconciliation to their respective ledgers. In cases where theft is suspected, the DOF shall inform the CEO who shall inform the Chairman. The CEO is requested to call the police for investigation after obtaining the Chairman's approval. The result of the police investigation shall be raised to the Chairman by the CEO for further action.
- F. The cashier department shall also be equipped with CCTV cameras covering all of footage of the cashier department offices. The location of the cameras shall be assessed and decided upon with the Head of Security.
- G. Regular back up of the CCTV footage needs to be obtained. The retention period, warehousing location, and accesses of these back up footages are to be decided with the Head of Security and documented in a procedural form.
- H. Cash counting machine which can identify the fake currency notes should be used for the counting of amounts received.

#### 4.10 Bank Reconciliation

The receivable and the payable accountant shall check the receipts and payment transaction with the bank statement on a daily basis to verify that the respective transactions are timely cleared in the bank statement, and that all amounts reflecting in the statement are recorded in the books, and that any direct transfer and charges like remittances and bank charges are promptly reconciled and recorded so that all bank ledgers are updated at all times.

The payable accountant is primarily responsible to prepare a bank reconciliation statement in coordination with the receivable accountant at the end of every month within a timeframe of 3 working days. This statement shall reflect the non-reconciled transactions and tally the balances of

each bank ledger with the bank balances after adjustment of the deposits and payments not cleared in the bank statement as on the reconciliation date.

Transactions remaining non-reconciled for more than a reasonable period shall be properly followed-up and brought to the notice of the line manager.

The bank reconciliation statement, duly verified and signed by the Chief Accountant and the DOF, shall form part of the mandatory schedule to the monthly and yearly financials.

## 5. RESPONSIBILITY

Compliance, monitoring, and review:

The Director of Finance is responsible to establish the procedures and controls for the Cashiering Operations in coordination with the Executive Management of the Business Unit. Specifically, the DOF shall ensure that all collections are properly accounted, documented, and audited, and dealt with in accordance to this policy.

For that purpose, the responsibilities are entrusted as below:

Cashier:

Collection of payments from the student. Proper receipt with unique and serialized system generated receipts is issued to the student or parties making payment and a copy of the same are filed in the specific file kept for that purpose.

Ensure that mode of payment like cash, cheques, and card, are correctly classified along with all data like dates, customer ID, amount, for accurate classification.

Daily collections are not utilized for payments and are deposited in the business unit's bank account in full.

Receivable accountant:

The receivable accountant is authorized and required to collect cash from student during peak registration period. He/She shall also conduct physical check of the petty cash deposit balance kept with the cashier for change purpose.

Petty cash payments are issued by the Receivable Accountant upon verification.

Internal Auditor:

The Internal Auditor shall verify the daily cash collection with the system batch, check that all receipt vouchers are in serial order, and ensure that the daily collection amount is correctly deposit in the bank account.



## 6. REPORTING

The Cashier/Receivable Accountant shall produce periodic collection reports as required by the management.

## 7. RECORDS MANAGEMENT

The cashier shall file a copy of the original receipts in the receipts voucher file in a serialized order.

The receivable accountant shall maintain all petty cash payment vouchers duly attached with supporting in a separate file.

The current year documents file should be kept in cabinets in the respective office.

Prior year files should be preserved in the store with proper labeling at least for a period of 5 years.

### Exceptions

KTS Board shall maintain the right to approve/decide on any conditions/circumstances and/or exceptions outside the conditions stated in this policy in the best interest of the college.

## **7/F Purchasing and inventory management.**

### 1. PURPOSE

The objective of this policy is to establish guidelines and standards for the procurement of products and services at KTS. KTS is committed to provide for the fair and equitable treatment of all persons and firms involved in purchasing, contracting, acquisition, and disposition with business unit; assure that quality products and services are procured efficiently, effectively and at the most favorable prices available to KTS; promote competition in contracting; provide safeguards for maintaining a procurement system of quality and integrity; and assure that KTS purchasing actions are in full compliance with applicable UAE federal standards and laws.

Potential risks arising from disregarding this policy are: dysfunctional and slow process, or poor procurement budgeting, planning and scheduling, or misstated financial records and statements; or goods acquired or utilized for personal benefit. Therefore, failure to adhere to the policy might expose KTS to significant damage and individuals' guilty of violating this policy will be subject to appropriate disciplinary action by KTS, including possible termination of employment and/or legal action.

The policy must be well communicated and circulated to all KTS employees.

## 2. SCOPE

The policy is intended to cover the Procurement Department of KTS consisting of the Procurement Manager and the Procurement Assistant, and Inventory.

It also states the role of the Internal Auditor in verifying the budget availability as a prerequisite process and that of the DOF for approvals.

All departments are expected to support this policy in accordance with the established rules contained herein.

It includes all purchases and leases except for:

- Payroll & benefits services (except for leave, ticket, and professional development)
- Rentals,
- Utilities, and
- Government fees

## 3. POLICY STATEMENT

3.1 This policy puts in place a framework of internal controls over Procurement activities that will ensure that:

- More than one person is involved in and responsible for a transaction end to end ensuring proper segregation of duties
- Transparency is in the procurement process
- A clearly documented audit trail exists for procurement activities
- The appropriate authorizations are obtained and documented
- Systems will be put in place for appropriate equality monitoring and performance measurement
- All employees are required to comply with existing related policies

3.2 Any person responsible for a budget and his/her appointed delegates can request that a purchase be made by submitting a purchase requisition to the Procurement Unit.

Only the Procurement Unit can make purchasing commitments on behalf of KTS entities. Any unauthorized purchases become the personal obligation to the vendor by the individual making the purchase. All purchases in excess of AED.500/- should be made through local purchase order.

The approval authority for LPO is as below:

### Purchase Order Approval Authority

SN	Amount (AED)	Authorized Signatories
1	Up to 10,000	Procurement Officer

2	10,001 to 20,000	Jointly by Procurement Officer and DOF
3	20,001 to 300,000	Jointly by DOF and CEO
4	Above 300,000	Chairman

3.3 Procurement Unit shall adhere to the following rules:

- A. Procurement requirements are subject to an annual planning process to ensure efficient and economical purchasing;
- B. Procurement unit to ensure that requested goods are not in store. Priority is given to utilize available stock on purchasing requested items. If such items are in store, the procurement unit, in coordination with Business Support and facilities unit, shall provide the requesting department with the available items in store.
- C. Orders for goods and services should not be placed until the purchase order has been approved at all levels.
- D. Only the Procurement Unit is authorized to issue Purchase Orders
- E. Purchases processed on check requests must be approved at all required levels prior to submission for payment.
- F. Accounts Payable is responsible for generating checks to pay vendors for Goods and services once orders have been received and accepted, and Invoices have been submitted.
- G. Any estimated prices received from vendors are considered informal and are for information purposes only.
- H. All negotiations are to be handled by the appropriate Procurement Unit Personnel within their delegated authority.
- I. The Procurement Unit has the responsibility for obligating KTS entities and for making the final determination of supply sources, quantities purchase, delivery schedules and price negotiations, after ensuring proper approvals. The Procurement Unit is responsible for initiating and maintaining effective and professional relationships with suppliers, current or prospective.
- J. Contracts and modifications are in writing, clearly specifying the desired products, services, or construction and are supported by sufficient documentation regarding the history of the procurement, including as a minimum of the method of procurement chosen, the selection of the contract type, the rationale for selecting or rejecting offers, and the basis for the contract price;
- K. KTS has established a list of approved pre-qualified vendors. The list shall be categorized as to services and /or products provided by the vendor and shall include, but not limited to, the name of the vendor, commercial register number, commercial register date and bank account number. Any additions to the pre-qualified list shall be approved by KTS’s Procurement Manager.
- L. All operating units shall purchase products and/or services from these preferred vendors, and that KTS entities will not pay for products or services procured from vendors that are not in the list or with whom there is no contract or enterprise agreement, if an agreement already exists with a preferred supplier for the same or adequately similar products and/or services.
- M. Procurement Unit, Budget Manager, and Departments with Matter Expertise (i.e. I.T. Department, H.R. Department, etc.) may recommend additions to the pre-

approved vendors list and the decision of which to be cleared by the Procurement Manager.

N. Comply with applicable regulations and UAE federal laws

O. There are sufficient unencumbered funds available to cover the anticipated cost of each procurement before contract award (including anticipated change orders, work or services performed are inspected and reviewed before the payment);

P. Procurement awards will only be made to responsible vendors possessing the ability to perform successfully under the terms and conditions of a proposed procurement

Q. KTS procurement system may not be used for personal purchases.

## 4. PROCEDURE

### 4.1 Procurement Planning

A. Budget managers, Procurement unit, and Finance are responsible for annual procurement planning and in light of the approved budget that will result in contractual agreements with vendors at the beginning of the year resulting in bulk purchases, Just in time, Bulk pricing and Reduction of administrative overheads and cycle time.

B. The award of a contract to a specific vendor to be governed by the policy statements prescribed in section 6.

C. Monthly purchase requests for the items contracted to be prepared by the budget manager and sent to procurement unit for processing.

D. The Procurement Unit is responsible for consolidating these monthly purchase requests received from all budget managers to be processed according to the policy statements below.

E. Non-contracted purchases to be initiated by the budget unit through a purchase requisition and shall follow the processing requirement as per the policy statements below.

### 4.2 PROCUREMENT METHODS

KTS shall use one of the following procurement methods, based on the nature and anticipated dirham value of the total requirement identified in the Limits of Authority. All of the following methods will go through the Procurement unit.

#### A. Non-Bid (Direct Purchases)

This type of purchase will have to obtain a single quotation.

#### B. Direct Order (Three Formal Price Quotations)

This type of purchase will have to obtain quotations from a minimum of three qualified vendors.

#### C. Tendering (Formal Competitive Bidding)

There are two types of tendering:

##### C.1. Standard Sealed Bid

Bid documents are prepared by the requesting department with the help of the technical department and procurement unit, whereby the detailed specifications of the goods/ services requested are properly defined, known and available.

These require only the vendors' prices received in sealed envelopes.

The bid documents received from vendors are opened all at once and evaluated by the tender committee.

The purchasing unit shall exert all possible efforts to obtain a minimum of three bid documents from vendors.

Bids will be judged only on the written bid package. All matters of substance that a bidder wishes to rely on and wishes the Tender Committee to consider must be included in the written bid materials and submitted by the appropriate timelines.

All bid packages (successful or unsuccessful) will be maintained with the Procurement Unit.

### **C.2 Standard Competitive Proposals (Request for Proposals/RFPs)**

Requests for Proposals are prepared by the requesting department with the help of the technical department and procurement unit, whereby the detailed specifications of the goods / services to be procured are not defined and where factors in addition to price will be considered in the award. These require the vendors input, design and / or specifications against which prices are set.

The proposal documents received from vendors are opened all at once and evaluated as per the criteria outlined in the Request for Proposals.

The Procurement unit shall exert all possible efforts to obtain a minimum of three proposal documents from vendors.

### **4.3 LEASE VS. PURCHASE**

The Procurement Unit may find certain situations that warrant further investigation of lease or rental options. These situations are summarized as follows:

- Short-term or seasonal needs for equipment may dictate that purchase is unreasonable. If the period of need for the equipment is substantially less than its anticipated useful life expectancy, then rental or lease options should be investigated and compared to the purchase cost less the anticipated resale value
- In case of highly technical equipment whose useful life cannot be accurately projected, lease or rental options offered through the manufacturer, distributor or third parties may be investigated, as a viable alternative to purchase. In such situation analytical comparisons of Purchase, lease or rental options should be made to determine which represents the best interest to KTS entities.

- Ancillary benefits of the lease or rental

The Procurement unit, in coordination with the Finance Department, is requested to identify and recommend such instances, to be approved as per the limits of authority.

When initiating a requisition for the lease, lease-purchase or long-term rental of equipment, the originating department should clearly explain the necessity or desirability of that type of arrangement

#### **4.4 BLANKET PURCHASE ORDER**

A Blanket Purchase Order (BPO) is a contractual agreement which has been issued to a vendor against which multiple purchases may be made for a specified period of time.

BPOs allow for fixed pricing over the life of the contract while also allowing flexible delivery schedules and order quantity commitments.

When repeated purchases of the same type of goods are anticipated, multiple purchase requisitions may be eliminated by submitting one purchase requisition to establish a Blanket Purchase Order.

Blanket purchase orders are limited to use for goods, equipment, and other materials and must not be used for purchases of services.

BPOs must be established only if there are frequent requests for specific items, goods, or material with negotiated volume discounts or pre-negotiated prices with the same vendor BPOs will be established in compliance with KTS guidelines

The annualized expenditure limit of the BPO is only an estimate and is not a commitment to the supplier that this amount will be spent,

For each BPO the following must be established:

- Items with pre-negotiated or fixed prices including any volume discounts and percent discount and
- An annual expenditure limit and
- A specific time period.

Individual departmental employees are not permitted to sign BPOs, contracts or other agreements on behalf of KTS.

#### **4.5 NON-COMPETITIVE PROPOSALS**

Procurements shall be conducted competitively to the maximum extent possible. Procurement by non-competitive proposals may be used only when the Procurement Unit determine in writing that the award of the contract is not feasible using normal procurement channels. One of the following will be considered:

##### **A. Emergency Purchasing**

KTS Procurement Unit is authorized to provide for emergency purchases and is the primary authority, along with KTS Finance Director for determining whether a stated departmental need qualifies as bona fide emergency eligible for 'Emergency Purchase' which means following case:

- when a situation exists wherein the requirement for goods and services is so severe that KTS entities/ department will suffer operational or financial damage if goods or services are not secured immediately, an emergency purchase order should be executed.  
The emergency should be of a time critical nature such that a rush purchase processed through normal channels will not suffice. In such cases, Procurement Unit should highlight the following:
- Requester must fill in Emergency Justification within the purchase request form, as to why this purchase is considered an emergency.
- Prior approval from the Budget Manager of the requisitioned department,
- The purchase will still be channeled through the requisition process, except in extreme necessity which is explained below.

Failure to anticipate a need is not, of itself, considered as a real emergency. Waiting until the last minute to correct a foreseeable circumstance is not an emergency.

### **B. Sole Source Purchasing**

Sole source procurement is not permissible unless a specific criterion of the requested purchase is available from only a single supplier.

Any request that procurement be restricted to one or two potential suppliers shall be accompanied with 'Sole Source Justification' as to why no other will be suitable or acceptable to meet the need.

The justification shall be approved in writing by the Finance Director.

## **4.6 ETHICS IN PROCUREMENT**

### **4.6A Conflict of Interest**

No employee of KTS shall participate in the selection or in the award or administration of a contract if a conflict of interest, real or apparent, would be involved.

Procurement Unit is responsible for ensuring there is no conflict of interest in dealing with vendors. Such a conflict would arise when:

The employee

- Any member of his or her immediate family
- His or her partner, or
- An organization which employs or is about to employ, any of the above, has financial or other interest in the firm selected for award

#### **4.6B Gratuities, Kickbacks and Use of Confidential Information**

Employees should be aware that vendors or vendors provide gifts, services or entertainment (meals, tickets to sports event, etc.) as part of their marketing or promotion efforts. These expenditures are often made by the supplier with the expectation that they will be rewarded with increased sales. The employee who receives a gift, service or entertainment will be in a conflict of interest with KTS policies if this personal benefit results in a decision to purchase goods or services that is not the best value for KTS entities. Consequently, all employees must disclose to their supervisor, all offers and gifts, services or entertainment. Where acceptance is deemed inappropriate or likely to produce a conflict of interest, the gift, service or entertainment is to be refused.

Established gift limit is not acceptable for Procurement personnel. Procurement personnel should not solicit or accept gifts, benefits or hospitality which might influence or be perceived to influence the conduct of their duties.

#### **4.7 ADVANCE PAYMENTS**

It is the policy of KTS not to pay for an item before it is received. Advance payments on some types of transactions are permitted, however, where it can be determined that there is no other way to obtain the service or product, where the advance payment is determined to be in the KTS's best interests, or wherever specifically authorized in law. Advance payment is made only with the approval of the Purchasing Unit.

Exceptions are:

- Subscriptions, as required.
- Institutional memberships
- Registration fees for conferences and official meetings

The Finance department and prior to full payment of the vendor's invoice shall ensure that the full service / goods requested;

- Have been satisfactorily received; Or
- Sufficient assurance and guarantees that these products / services are going to be satisfactorily received in full

#### **4.8 CONSULTANTS AND INDEPENDENT CONTRACTORS**

Requisitions for personal professional services require the completion of a procurement request. This form documents the terms and conditions of services being provided and must be signed by the individual.

#### **4.9 COMPUTER EQUIPMENT & SOFTWARE**

All computer-related purchases (hardware, peripherals, and software) shall be approved by the IT manager for purposes of meeting institutional specifications and standardization.

#### **4.10 PROFESSIONAL DEVELOPMENT**



All professional development shall be approved by HR manager for the purpose of fulfilling institutional competency matrix.

#### **4.11 CHANGES TO PURCHASE ORDERS**

Request for modification of a P.O. shall be directed to the Procurement Unit in writing, on a new requisition. The reason for the change should be stated along with reference to the P.O. number and vendor. A P.O. can be changed only with the consent of both parties, and only the Purchasing Department can change a P.O. or contract on behalf of KTS entities after confirming availability of budgeted funds.

#### **4.12 RECEIPT OF GOODS**

The procurement assistant is designated to receive all goods for KTS entities. It is the responsibility of the department to verify that (non-IT/Laboratory) goods under the P.O. have been received in the manner and quantity ordered, and to send a written confirmation of delivery note to Accounts Payable unit prior to payment.

For IT-related/Laboratory goods, I.T. and the requesting department (if applicable) shall verify that goods under the P.O. have been received in the manner and quantity ordered. The procurement shall still retain the original delivery note of such goods and is responsible to send it to Accounts Payable unit.

Procurement shall ensure that the delivery note is compared to the P.O. of received goods, and make notes in writing for the good condition and any discrepancies found.

It is the policy of KTS that when a vendor has delivered the goods or services specified on a P.O., he/she has legally complied with his/her part of the contract and should be paid.

#### **4.13 RECEIPT OF SERVICES**

The requesting department should be the receiver of services. Services cannot be received by any other department. A copy of the P.O. or Contract Order should be signed by the requesting department and forwarded to the Accounts Payable unit to confirm satisfactory delivery of the services prior to payment.

#### **4.14 CANCELLATION OF PURCHASE ORDERS**

If a P.O. needs to be cancelled for any reason, a written request should be sent to the Procurement Unit, and should include the reason for the cancellation. It may be necessary for the Procurement Unit to contact the vendor. A P.O. can be cancelled only with the consent of both parties, and only the Procurement Unit can cancel a P.O. or contract on behalf of KTS entities. Once a P.O. is cancelled, the Budget Controller shall be notified in order to cancel the budget commitment.

The Procurement unit shall follow up on outstanding P.O. Outstanding over two months needs to be notified to the Director of Finance who shall authorize their cancellation.

#### **4.15 RETURNS**

In the event of any discrepancy, the respective department shall notify the Procurement Unit within 24 hours. The Procurement Unit is responsible for communication with the vendor if a package should be returned.

#### **4.16 TIMING OF VENDOR PAYMENTS**

KTS entities will not pay invoices until the goods and/or services have been confirmed as received. Receipt acknowledgement (via delivery note or signed P.O.) is the responsibility of the requesting department and/or the procurement assistant. Payment terms to be agreed between the purchasing unit and the vendor, serving the best interest of KTS. These payment terms to be included in the purchase order. The payment decisions will also be based upon available cash flow.

#### **4.17 CONTRACTS**

A contract is an agreement stating terms and conditions under which goods or services will be provided on request for a specified price.

While a P.O. may technically constitute a contract, the term "contract" here means a formal, written agreement signed by all parties.

All professional service contracts shall be reviewed by the Legal Consultant. The contract must accompany the requisition and must be signed as stipulated in the Limits of Authority Policy.

A written contract may be appropriate, in addition to a P.O., in the following circumstances:

The nature of the work and obligations of the parties must be set out in detail and specificity;

- Payment terms are complicated and require special handling; Equipment being acquired is unusual, unique or special in some way (i.e., design, engineering, testing, or other special factors);
- Consulting services;
- Research;
- Construction or installation of fixtures, which may expose KTS entities to liability to third parties;
- License agreements, rentals, and leases.

#### **4.18 INVENTORY**

KTS inventory consists of physical and electronic books procured from third party suppliers for sale to the student.

The procurement of these books is managed by the procurement department and on receipt of the same from the suppliers is sent to the library department.

The inventory is managed by the library department, which issues the books to the student on verification of payment by the student, and maintains the stock count and reports through the student management system.

The Chief Librarian/Librarian Assistant shall send a monthly stock report of the books/Journals consisting of title wise opening balances, monthly movements, and the closing stock.

For the purpose of financial accounting, the books are initially recorded as inventory. The amount of stock outflow for the month; based on the stock report from the Library department, is charged to the respective expenses account and the inventory account is credited.

KTS maintains inventory for only student books. Other consumables like stationeries are purchased in small quantities and are charged directly to expenses.

## 5. RESPONSIBILITY

### **5.1 Compliance, monitoring, and review:**

The Director of Finance is responsible to establish the procedures and controls for the procurement activities of the Business unit in coordination with the Executive Management of the Business Unit.

Specifically, the Director of Finance shall ensure that all procurement activities of the business unit are carried out through the procurement department and are carried out in accordance with the rules set in this policy.

For that purpose, the responsibilities are entrusted as below:

#### **Procurement Manager:**

The procurement manager shall act as a link between various KTS departments requesting for procurement of goods and services for business purposes. The P.M. shall ensure that the request is authorized by the department head and has budget clearance, understand the requirement and specifications, identify suppliers, negotiate the best price, issue LPO's and follow-up with the suppliers for timely delivery.

#### **Procurement Assistant:**

The Procurement Assistant shall assist the Procurement Manager with all procurement functions as above and shall be additionally responsible for the receipt of goods. The Procurement Assistant shall ensure that the delivery of good and services are in accordance with the required specification before acknowledging the receipt and forwarding the delivery notes/invoices to the Payable Department.

**Internal Auditor:**

On receipt of purchase request, the Procurement Department shall forward the same to the Internal Auditor, who shall check the availability of the budget balance for the requested items code and approve accordingly.

**Director of Finance:**

The DOF shall ensure that all procedure and processes are met.

**5.2 Reporting**

The Procurement Department shall produce reports as below:

- A. Monthly/Periodic procurement activities.
- B. Monthly/Periodic savings through negotiations
- C. LPO status
- D. Other customized report as may be required for statutory submission and by the management from time to time.

**5.3 Records Management**

The Procurement Manager is responsible to maintain documents/records relating to their function in a systematic manner for easy retrieval, review, and audits.

Standard records to be maintained are as below:

- A. All copies of LPO's issued (Soft copy and hard copy)
- B. Approved list of Suppliers
- C. Price list and quotations for references

**6. Exceptions**

KTS Board shall maintain the right to approve/decide on any conditions/circumstances and/or exceptions outside the conditions stated in this policy in the best interest of Al Khawarizmi Training Solutions.

**7/G Financial risk management.**

At the beginning of the fiscal year, the KTS budget is approved. At the end of each fiscal year, a licensed audit business conducts the financial audit and provides the management with a comparison of the previous year's and current year's performance.

The Finance Manager also conducts a variance analysis at the conclusion of every month to monitor all aspects of the budget. Management is given thorough information so they can decide on KTS's strategic and operational initiatives with confidence. The variance analysis form aids KIC in managing budgeting and financial management risks.

More details can be found in the [Risk Management Plan and Policy](#).

**7/H Financial rules and regulations including fees and refunds.**

### 1. PURPOSE

The purpose of this policy is to establish guidelines for the management and accounting of tuition fees, define the fees schedule, refund rules, payment from Learner.

### 2. SCOPE

This policy covers tuition fees categories and application process, payment process, refund procedures. The DOF is entrusted with the processes of approvals and continued improvements of this policy.

### 3. POLICY STATEMENT

KTS management is responsible to communicate to the Learner the tuition fees rate, rules and regulations relating to the payment schedule, refund policies and processing times, in an unambiguous manner.

Learners are responsible for the payment of tuition fees by the stated payment deadlines. Each Learner is responsible for understanding the charges and meeting all financial obligations on time. KTS understands that some Learners may be receiving financial assistance from private or governmental sponsors; however, the ultimate financial responsibility belongs to the Learner.

Details on [Refund Procedures](#) are available.

## 8 REGULATORY DISCLOSURE

### 8/A Cooperative agreements and contractual relationships.

At KTS, the department/person in charge of administering the agreement, or the person who initiated the contract or agreement, is responsible for reviewing the document at least once a year to make sure that:

- The contract is still in force and appropriate for the KTS and its mission;
- The Institute manages these contracts and agreements in a way that supports Institute business, ensuring that the project, purchase, or service covered is carried out in a way that minimizes risk;
- Institute staff is aware of the Institute's obligations under the contract;
- Obligations under the contract or agreement are carried out; and
- Obligations under the contract or agreement are fulfilled.

The originator or administrator must also perform an analysis and any necessary legal review to decide whether an updated agreement should be finalized in circumstances where the contract or agreement involves financial terms like it automatically renews. The review should be documented, and the review paperwork should be shared with authorized officers and kept alongside the contract or agreement.

#### General guidelines

In general, all contracts should include information about the nature of the work or services, the business and legal context, the party—a Institute, department, or person—responsible for execution, the start and end dates of the execution, and the signature of the authorized person in accordance with Institute policies and the authority matrix. From the list of recommendations below, additional factors may also be taken into account.

- a. Depending on the type of contract or agreement, the office responsible for the review generally follows the line of authority and the office that originated the contract or agreement, so the academic or administrative unit that originated the contract or was in charge of its execution performs the periodic review. The offices of the CEO or Academic Director are then given these evaluation reports in accordance with the organizational structure.
- b. Depending on the type of contract, a different type of management is necessary. Since most memoranda of understanding and nondisclosure agreements are used to start collaborations and their provisions don't involve any other obligations, an examination of them can be restricted to determining whether or not they are still active. Memoranda of Understanding, Contracts, and Agreements that include obligations for the parties, but they need to be looked at more closely.
- c. For the majority of contracts and agreements that include binding responsibilities, the following recommendations can be applied wherever possible to assess the performance of suppliers or partner:
  - Select the key performance indicators (KPIs) that will be used to gauge expected performance.

- Whenever and wherever possible, set goals.
- If required or appropriate, include in contracts or agreements fines, such as deductions from payments or repayment of fees, for subpar performance.
- Request from the vendor or contractor regular operational or progress reports.
- Include dispute resolution and financial problems in the contracts or agreement and discuss as appropriate.
- Carry out user satisfaction surveys to verify performance from the standpoint of the user, and then discuss the findings at the regular meetings.
- Create action plans to resolve the concerns and talk about them in the upcoming meeting.

## **8/B Copyright and intellectual property.**

Intellectual property rights are those ethical and legal privileges enjoyed by creators of intellectual works in cases when the output demonstrates originality and distinction. Authors are granted these rights in order to honor their innovations and safeguard the originality of their work. These rights typically include, but are not limited to, copyright and patent, as well as a broad range of other legal aspects. KTS expects its employees and learners to respect and safeguard these rights because it is one of its basic values to uphold an ethical code of conduct.

KTS copyright policies are based on the UAE copyright and authorship protection law No. 7 and can be accessed as '[Copyrights policy](#)'.

## **8/C Publications.**

### **1. Purpose**

This policy's goal is to give instructions on how Khawarizmi Training Solutions (KTS) staff members and stakeholders should use publications when doing Institute business.

The Publication Policy is a crucial document that safeguards the Institute's reputation by guaranteeing the accuracy and consistency of the data it makes available to the public.

In order to strategically connect with its stakeholders, KTS will be able to:

- Manage its marketing, publications, website, media, community involvement, and public relations activity.
- Create procedures for managing the KTS brand, enhancing its standing, and advancing its strategic strategy, vision, and mission
- Control how KTS publications are used both internally and internationally.

### **2. Policy Statement**

KTS is dedicated to giving its internal and external stakeholders timely, accurate, and high-quality information. Every publication should work towards achieving the Institute's goal and vision, and it should also be in keeping with its authorized strategy and KTS Brand Guidelines.

The Institute is dedicated to creating guidelines, procedures, and materials that educate KTS's staff, learners, and stakeholders on crucial decisions, services, programs, and projects.

### **3. Scope**

- All publications created by KTS personnel, learners, and stakeholders are covered by this policy. Unpublished student work is exempt.
- The KTS Brand Guidelines should be reviewed and used in conjunction with this policy since they provide support for it.
- The Abu Dhabi Centre for Technical & Vocational Education and Training (ACTVET) and the National Qualification Centre (NQC) of the UAE authorities both establish standards and regulations that publications and content must adhere to.

### **4. Guiding Principles**

- KTS acknowledges that proactive, positive, interactive Publication with stakeholders and the community is a key element of its Strategy and a means of forging enduring bonds with both groups.
- Only authorized individuals are allowed to have formal engagements with external stakeholders via media engagements and press releases.
- All forms of Publication, including verbal, digital, and printed media, are expected to adhere to the highest standards of ethical practice, professional competence, and data protection regulations.
- Information must be delivered quickly and through the proper, authorized publication channels. The appropriate department shall respond to requests for information from stakeholders without undue delay. All requests for information will be responded to within two days. An acknowledgement of the request must be sent in cases when extra time is required.
- All information provided to stakeholders must be true, open, and transparent while also taking the need to preserve KTS's confidential information and intellectual property into account.
- All information must be intentional, concise, and clear.
- In order to enhance the publication process and enable KTS to interact with the needs, worries, ideas, and goals of the community it serves, feedback from stakeholders is encouraged and should be sought out.

### **5. Procedure**

#### **Content Development**



- Finding ideas to write about or being asked to provide material for a particular magazine is the process of content production. Before a piece of content is ready for publication, it must first be created, reviewed and edited by others, and authorized.
- All information must be true, understandable, brief, deliberate, and grammatically sound. The policy's guidelines, the Data Protection Regulations, and intellectual property regulations must all be followed by content.
- The KTS community and stakeholders must submit requests using the appropriate form, following the instructions and approval sections it contains, in order to publish new content or change current content.
- To help with content creation, the marketing department has created a template and checklist. When a department wants to create marketing materials or content for which there isn't a template or form, they should get in touch with the marketing department, which will collaborate with them to find a suitable solution.

### **Employing Outside Service Providers**

- To provide brand-related creative or publication services, KTS may from time to time hire a third party. Examples of such parties include designers, graphic artists, photographers, videographers, typographers, musicians, illustrators, media booking agencies, and public relations service providers.
- KTS has a number of procedures in place for working with outside service providers and controlling the risks involved. These consist of contracts, monitoring of the work's strategic scope, and partnerships with favored suppliers.
- When employees need to hire an outside service provider, the preferred supplier list should be checked to see if the requested services are offered. In order to determine an appropriate supplier of the service and evaluate the necessary business need, the Marketing Department collaborates with the staff member.

### **Content Approval**

- Institute profile (Vision, Mission, Values, History, organization chart, website design etc. must be approved by the CEO.
- Academic Programs and relevant sections updates/reviews must be approved by the Academic Director.
- Academic articles must be developed and approved by the Academic Director
- Admission and Registration section updates/reviews must be approved by the Admission and Registration Unit.
- Financial Policies (Tuitions and non-Tuitions fees, Payment policies etc.) updates/reviews must be approved by the Financial unit
- Affiliation and Accreditations section updates/reviews, in addition to Handbooks and Catalogues, must be sourced and approved by the Quality Unit

- Current Learners, Alumni Sections updates/reviews/events must be approved by Learner Affairs unit
- Career section updates / reviews must be approved by Human Resources unit.
- Institute news must be developed and approved by Marketing unit

### **Data security and confidentiality**

- The KTS Community is required to abide by all applicable data protection laws in any content that is created and published.
- Before publishing anything or using any images on the website, authors must give their consent.
- The website will not include any copyrighted content without permission. Before using logos, affiliate institute approval is required.
- Contact information gathered from website visitors or learners will only be used for publication purposes and will not be shared with other parties without their consent.

### **6. Responsibilities**

The Marketing Department is in charge of developing, managing, and maintaining all aspects of the KTS brand logos, including any applicable usage guidelines; creating strategic marketing activities; designing the KTS website, managing website content, and overseeing website maintenance; designing, implementing, and monitoring the digital media strategy; and coordinating with internal and external stakeholders, as well as the media, on all corporate PR.

The following responsibilities fall under the purview of portfolio owners and content developers:

- Providing content, or requesting material or content updates in accordance with this policy and the instructions on the form;
- Making sure content is that content is accurate and error free
- Complying with the policy and reporting any violations of the policy

### **8/D Teach-out.**

The NQC/AWB program authorization procedure is well known to KTS management.

KTS already has programs with authorization. Before receiving official authorization for a program, KTS administration will NOT offer that program.

KTS will refrain from doing the following until the program has received its initial authorization:

- Announce or advertise the program in any way.
- Accept any Learner into the course.

KTS is fully aware that:

- The NQC/AWB will not accept applications that are incomplete or that are presented in a different order than that which has been prescribed by the NQC/AWB.
- The program's approval is not assured by the application's acceptance.
- If the application is officially accepted by the NQC/AWB reviewer, KTS is required to make arrangements with the NQC/AWB staff to start planning for the on-site visiting team.
- If the application is not officially accepted by the NQC/AWB reviewer, KTS will be informed of this fact along with whether it may make application and, if so, within what time frame.

The KTS administration is aware of the NQC/AWB-published application deadlines. Should the proposed program be authorized and offered and later cancelled, the Learners on the program shall have:

- The option to transfer to other programs offered by the Institute and receive a refund for the full tuition costs paid toward courses for which they do not receive transfer of credits, should the proposed program be authorized and offered and later cancelled.
- The choice to transfer to another ATP with which KTS has signed articulation agreements and receive a refund for the entire tuition amount paid for any courses for which they do not receive transfer credit to another ATP; or
- The choice to receive a refund of the entire tuition amount paid to KTS in the event that the learner does not wish to choose option 1 or option 2 above.
- The KTS teach-out agreement must be approved by the MOE/NQC/AWB.

### **8/E Conflicts of interest.**

- The term "conflict of interest" has a broad definition and can refer to a variety of academic and scholarship activities as well as other concrete actions that directly involve financial links. Here, KTS alludes to the financial dealings between the Board of Trustees/Directors and the Institute.
- With regard to the roles and responsibilities of the Board members, KTS upholds clear and distinct relationships that place an emphasis on the predetermined duties and jurisdiction.
- It is the KTS's policy to ensure that members of the Board don't use their position of power, influence, and decision-making to their advantage, whether it be personally or financially, whether they are connected to internal or external partners doing business with the Institute. Members of the Board shall use Institute employees, resources, and facilities in a proper and adequate manner, in accordance with the Institute's established rules and regulations, and only for the benefit of the Institute.
- KTS will make every effort to ensure that any issues raising potential conflicts of interest with regard to financial problems are fully addressed and resolved pro-actively, quickly, and firmly in the Institute's best interest. Such instances will need to go through the proper channels, where a conflict of interest committee (an impartial body) will be constituted to examine the conflict and make the required suggestions to address it.
- KTS will always operate in a transparent manner to reveal such conflicts, if any, through the appropriate legal channels as per the constitutions and laws of the UAE.

## **8/F Anti-corruption and bribery.**

### **1. Purpose**

This anti-bribery policy is in place to outline Khawarizmi Training Solutions' (KTS') obligations, as well as those of our employees, with regard to adhering to and enforcing our zero-tolerance policy on bribery and corruption.

### **2. Policy statement**

2.1 Khawarizmi Training Solutions (KTS) is dedicated to operating in an ethical and honest way and to putting in place and upholding policies that ensure bribery is avoided. Khawarizmi Training Solutions (KTS) has a zero-tolerance policy for corruption and bribery. Regardless of where we conduct business within the nation, we are dedicated to conducting ourselves in a manner that is respectful, equitable, and honest in all commercial interactions.

2.2 Khawarizmi Training Solutions (KTS) is committed to upholding all anti-corruption legislation in the countries where we do business. Regarding our behavior, we are governed by UAE law.

2.3 Khawarizmi Training Solutions (KTS) acknowledges that corruption and bribery are crimes that are subject to both jail time and monetary penalties. If it is determined that our business engaged in corrupt practices, we risk receiving an astronomical fine, being barred from bidding on government projects, and suffering irreparable reputational harm. We commit to preventing bribery and corruption in our business with this in mind, and we take our legal obligations seriously.

### **3. Scope**

3.1 This anti-bribery policy is applicable to all employees, whether temporary, fixed-term, or permanent, consultants, contractors, trainees, seconded staff, home workers, casual workers, agency staff, volunteers, interns, agents, sponsors, or any other person or persons connected to us (including third parties), any of our subsidiaries, or any of their employees, wherever they may be located (within or outside of the UAE). The policy is also applicable to all levels of officers, trustees, board members, and committee members.

3.2 Any person or group that our business interacts with or works with is referred to as a third party in the context of this policy. It includes real and potential clients, customers, suppliers, distributors, commercial connections, agents, advisers, and representatives of government and public entities, including public parties, and their advisors, representatives, and officials.

3.3 Any agreements our business enters into with third parties are governed by explicit legal terms, including clauses that demand the third party to abide by minimum

### **4. Definition of bribery/corruption**

4.1 The act of providing, giving, promising, requesting, agreeing, accepting, or soliciting something of value or of an advantage in order to induce or influence a behavior or a choice is referred to as bribery.

4.2 Any incentive, reward, or thing/item of value given to another person in an effort to acquire a competitive, contractual, regulatory, or personal benefit is referred to as a bribe.

4.3 Offering a bribe is only one aspect of corruption. A person is also in violation of the law if they take a bribe after receiving one.

4.4 Bribery is forbidden. No type of bribery may be used by employees, whether directly, passively (as previously mentioned), or through a third party (such as an agent or distributor). Nowhere in the world may they bribe a foreign public officer. They must never accept bribes of any kind, and if they are unsure if anything is a bribe, a gift, or an act of hospitality, they must consult the company's quality manager for more information.

5. What is appropriate and what is not

5.1 Areas are discussed in this section of the policy:

- Gifts and hospitality.
- Payments for assistance.
- Donations to charities.

5.2 Gifts and hospitality.

Insofar as the giving or receiving of gifts satisfies the following criteria, Khawarizmi Training Solutions (KTS) acknowledges customary and suitable acts of hospitality and generosity (whether given to/received from third parties).

- a. It is not offered with the goal to influence the recipient, to secure or reward the retention of business or a competitive advantage, or in direct or indirect return for advantages or favors.
- b. No implication that a favor in return is demanded is expressed. It is in compliance with local law.
- c. It is provided in the name of the business rather than a specific person.
- d. It excludes cash and cash equivalents (e.g. a voucher or gift certificate).
- e. It is appropriate in the given situation (e.g. giving small gifts around Ramadan or as a small thank you to a company for helping with a large project upon completion).
- f. It is presented at the right moment and is of the right kind and value, keeping in mind the reason for the gift.
- g. It is delivered or received in an open manner, not covertly.
- h. It is not specifically offered to a significant, important person with the obvious goal to have a direct influence on them.
- i. It does not exceed a predetermined excessive value set by the company's compliance

- j. It does not exceed a predetermined exorbitant value set by the company's compliance management (often more than AED1000).
- k. It is not offered to or received by representative of the government without the prior consent of the company's compliance manager.

5.3 Gifts may be received as long as they are disclosed to the quality manager, who will evaluate the situation, in situations where it would be improper to deny them (for example, while meeting with someone who might offend or belong to a certain religion or culture).

5.4 Khawarizmi Training Solutions (KTS) is aware that different nations, regions, cultures, and faiths have different customs about giving and receiving business presents, and as a result, each will have its own definition of what is and is not appropriate.

5.5 It is best practice to always inform the quality manager of any gifts that are provided or received. All gifts received from vendors should be declared.

5.6 When giving or receiving a present, it is always important to take its intended use into account. The quality manager's guidance should be sought if there is any doubt.

#### 5.7 Payments for assistance (Kickbacks and Facilitation Fees)

No payments of any kind for facilitation are accepted by or made by Khawarizmi Training Solutions (KTS), and they never will be. We acknowledge that payments made to expedite or facilitate a public official's fulfillment of a normal government task constitute bribery. We acknowledge that they frequently come from low-level employees who want to ensure or hasten the completion of a particular task or action.

5.8 Khawarizmi Training Solutions (KTS) forbids the giving or receiving of kickbacks. We are aware that kickbacks are sometimes given in return for a business benefit or favor.

5.9 Khawarizmi Training Solutions (KTS) is aware that despite its stringent policy against facilitation payments and kickbacks, workers occasionally confront circumstances in which refusing to accept a facilitation payment or reward threatens the safety of themselves or their families. The next actions need to be taken in this situation:

- a. Limit any sum to a minimum.
- b. Request a receipt outlining the payment's amount and justification.
- b. Compile a report on the payment.
- d. Inform your line manager about the situation.

#### 5.10 Donations to Charities

The act of giving to charity, whether through services, knowledge, time, or direct financial contributions (cash or otherwise), is accepted (and even encouraged) by Khawarizmi Training Solutions (KTS), which also commits to declare all charitable contributions it makes.

5.11 Employees are responsible for watching out that charitable donations aren't utilized to enable and cover up bribes.

5.12 We will make sure that all charitable gifts are compliant with local laws and ethical standards, and that none are offered or given without the compliance manager's consent.

## 6. Employee Responsibilities

6.1 As a KTS employee, it is your responsibility to ensure that you read, comprehend, and abide by the information in this policy as well as any training or other anti-bribery and corruption material you may receive.

6.2 Bribery and other kinds of corruption must be avoided, found, and reported by every employee and person under our control. They must refrain from any actions that might result in or imply a violation of our anti-bribery policy.

6.3 You must inform the quality manager if you have cause to think that bribery or corruption has taken place in the past or will in the future and violates this policy.

6.4 Any employee who violates this policy will be subject to disciplinary action and may be fired for gross misconduct. If a worker violates this anti-bribery policy, the CEO has the authority to sever their employment contract.

## **8/G Meet the requirements of UAE and any applicable Emirate specific laws, legislation and regulatory requirements that are relevant to KTS operations.**

In order to comply with UAE law and any applicable Emirate-specific rules, legislation, and regulatory requirements that are pertinent to its operations, KIC is committed to abiding by the laws, regulations, and guidelines established by governmental legislation and regulatory organizations.

### Guidelines for Compliance:

- Stay current with new laws and regulations:  
All employee at KIC are responsible for monitoring, identifying the areas where it affects the business, modifying policy, and executing that change which are all ongoing processes that involve keeping an eye out for evolving laws and regulations. Keep track of changes and determine which rules and regulations KTS is subject to and be ready to implement changes.
- Incorporate experts:  
Making sure that KTS operates transparently to avoid unintentional non-compliance. To ensure that everything is in order, KTS may seek experts or engage consultants. In order to verify that activities and procedures are compliant, this enables owners and employees to ask for assistance as needed.
- Verify that personnel adhere to protocol:  
If employees do not abide by compliance rules, it has no value. Changes in policy, in particular, may not always be well received by the workforce, and employees may be

reluctant to adopt new procedures in their regular workdays. HR must be involved in this procedure. The quality unit is responsible to effectively communicate policies and processes. KTS might want to consider, where applicable, putting in place a system that rewards employees for following instructions and creates punishments for breaking them.

- Routine internal audits:

Internal audits are conducted on a regular basis by quality unit to identify insufficient and ineffective processes that result in noncompliance. Internal audits may concentrate on the KTS's financial, operational, technological, or regulatory elements. When examining compliance, it is crucial that an internal auditor be impartial and follows commonly accepted auditing standards (GAAS). Use the appropriate program.

- Employ proper mechanism:

KTS have proper compliance mechanism in place to follow the law and lower the likelihood of error. All employees are given current information and advice, as needed, about matters that significantly affect their work, and students are given current information and advice, as needed, regarding matters that significantly affect their participation in VET.

### **8/H Ensure quality training and/or assessment services are consistent with KTS scope of accreditation and scale of operations**

KTS ensures quality training and/or assessment services are consistent with its scope of accreditation and scale of operations.

Related policies on [Training , Teaching & Assessing policies](#) are accessible.



## 9 SOCIAL RESPONSIBILITY AND ENGAGEMENT

### 9/A Relationships with external stakeholders.

#### 1. Introduction

KTS's overarching goal is to keep all the stakeholders it interacts with happy and mutually beneficial partnerships. The Learners, academic and administrative staff, professional associations and peer institutions, schools, governments and regulatory bodies, the media, social networks, and the local community are most likely to be among these stakeholders, albeit this is not a list that is exclusive. Policies listed here must be seen as generic rather than specific to one group because it is likely that the mechanism of interface will change between groups in terms of both content and presentation.

#### 2. Policies

KTS shall, at the very least, maintain ongoing communication and information sharing with all stakeholder groups who have an interest in its activities by openly sharing all nonconfidential information about the Institute that is available to the general public. This could include newsletters, press releases on important issues, pamphlets describing Institute policies, spokespersons on current events, etc.

KTS will look for affiliation with all significant local and worldwide organizations whose goals, in whole or in part, coincide with those of KTS. These could be business, academic, or professional goals. These partnerships are planned to benefit both parties in a mutually beneficial way.

- KTS will strive to actively interface with all governmental and regulatory bodies and assist in the formulation and implementation of educational policy.
- KTS will strive to project an image of academic freedom, integrity, and professionalism in the provision of a high-quality tertiary level educational experience for suitably qualified candidates through its promotional and public facing activities.
- KTS will encourage, support, and help wherever possible, any activities geared to ensure that admission to KTS is not restricted on the basis of economic affluence. The CEO or his designated candidate will have the responsibility of serving on these boards. This could involve offering longer payment terms, raising money for developments, etc.

3. The CEO will ultimately be responsible for all issues involving the interfaces between the Institute and external stakeholders. The CEO may assign certain responsibilities or areas to subordinate staff members or request the input of particular staff members as needed. The CEO is specifically responsible for defining what, how, and with whom certain interfaces are to be formed, as well as periodically reviewing such connections. Unless he/she specifically appoints another person to fill this job, it is his responsibility to serve as the Institute's "public face." All inquiries from the outside media will go through his/her office, and responses will often come

straight from there. No subordinate employees will be permitted to speak on behalf of the Institute, without the direct permission of the CEO.

Related policies on [Stakeholders' Communication Policies to Improve Performance](#) are accessible.

## **9/B Social engagement activities.**

KTS strongly believes about giving back to the community in many ways because doing so benefits both the Institute and the locals. One of the strategic focuses, according to KTS, is the significance of community outreach initiatives. In order to ensure that the Institute programs are at the highest level of practical learning, KTS wants to forge strategic collaborations with members of the local community.

The Institute wants to increase the visibility of its internal and external stakeholders within the neighborhood, including business associations, academic institutions, schools, alumni associations, and social service groups. The Institute wants to forge a strong bond with the local populace centered on exchanging enthusiasm for learning opportunities outside of the classroom and in the framework of UAE culture and values.

The process of community and social engagement takes into consideration KTS values which are part of the Institute mission statement:

- Respect for the UAE social system, Islamic and other cultures.
- Transparency, fairness, and equitable opportunities for all.
- Social responsibility.
- Ethical code of conduct.
- Teamwork spirit and positive thinking.
- Lifelong Learning and innovation.

KTS has essentially identified the following members of the community to work closely with:

- Academic Community Engagement
- Employers community Engagement
- Social Community Engagement

### **Types of social engagement activities at KTS:**

- Establish relationships with other institutions to promote academic activity and trainer exchange programs.
- Encourage collaboration and involvement with the corporate community.
- Provide learners with outside-the-classroom learning experiences and employment opportunities.
- Promote volunteerism in the humanitarian and social sectors in order to contribute to the growth of civil society by actively participating in cultural and social initiatives

### **Responsibility:**

- Academic Community Engagement: Academic unit

- Employers community Engagement: Career unit
- Social Community Engagement: Learner affairs unit

Related plan on [Social and Community Engagement](#) are accessible.

## **9/C Advisory board(s).**

### **KTS Advisory Board and Committee:**

#### **Introduction**

KTS is a prestigious institution in the area. Leading is defined as generating graduates that meet or surpass both the expectations of the majority of employers and the expectations of the majority of new students who enroll in the Institute.

All KTS programs are provided in a practical setting as part of KTS's emphasis on applied learning. Without the usual practical training term, KTS graduates have all the practical skills necessary to launch a job in their major.

To achieve its goals and objectives and maintain the high academic standard of its programs, KTS collaborates with internal and external committees and institutions. These committees consist of:

1. Advisory Board (AB): For each academic program it offers, KTS may take into consideration contractual agreements with local/international specialists. The duties of AB members and the composition of the AB are described in this document.

2. Academic Advisory committee (AAC): The internal advisory committee known as the Academic Advisory Committee (AAC). The Academic Director, Representative of Learning Resource Centre, Representative of Learner Affairs, One Trainer from each Academic Department, nominated by Trainer members make up the committee's membership.

When evaluating program revisions, the AAC consults the following reports:

- a. The external advisory board's recommendations
- b. a summary of the student evaluation forms
- c. A summary of the forms used to evaluate graduates;
- d. A summary of the forms used to evaluate employers.
- e. The Department Head and Trainer Members' Recommendations

More details of the Academic Advisory committee (AAC) are available in the KTS Committees: Structure and Terms of Reference

#### **Advisory Board (AB):**

KTS established the Advisory Board as an advisory body to oversee the program on a regular basis. The AB must also suggest program updates and modifications in order to maintain the program current with market developments and changes.

**Member:**

A member is a recognized authority in their academic or professional subject or a connected sector. Being a member of the AB for the programs, he or she will offer independent advice to KTS.

**Membership in AB:**

The CEO is in charge of extending invitations to members of the Advisory Board who are subject matter experts in the program (in coordination with the Academic Director). For each program, the team consists of four or five people. The ideal AB member is:

- a. a well-known expert:
  - a. With a well-known professional who has a recognized qualification in the program; and
  - b. Has proven relevant industrial experience; and
  - c. Has teaching experience; and

**AB's function:**

1. Participate in the AB Annual Meeting and/or other events considered required for the program to be held on an Institute property. The meeting's specifics are listed at the end of this document.
2. Offer suggestions for program updates and modifications as well as consulting.
3. Contribute to and take part in KTS-sponsored special events.
4. Invite students to visit his or her place of business to give them a chance to see and comprehend the many procedures and functions of the sector.

**Meeting Summary:**

- The AB meets typically once a year, and members are provided with copies of the pertinent program description, which includes the program's goals, objectives, and learning outcomes, as well as a list of all available courses and a description of each one, at least two weeks before the meeting.
- The meeting often takes place at one of the Institute's campuses, and each AB member is expected to prepare their remarks regarding the program before the meeting. The meeting lasts for almost three hours.
- The meeting is attended by the CEO, Academic Director, senior administrative staff, Head of Department, and members of the AB.
- KTS is in charge of recording the meeting's minutes and delivering them to AB members so they can sign the report within a week.
- The CEO introduces the meeting by outlining the goals and outcomes of the program as well as its learning objectives. The Academic Director then gives a presentation on the framework and curriculum of the program. Members of the AB are encouraged to make recommendations and remarks.
- AB is regarded as a team of consultants hired by the Institute to advise the KTS management on the program syllabus. The team will attempt to come to a consensus on whether to accept or reject the recommendations, and if the team is unable to do so on

one or more items, these will be left for the CEO and Academic Director to make a final decision.

- The Institute management is not required to follow these recommendations; however, the Institute management team will review these suggestions and implement them whenever appropriate.

### **9/D Monitoring certificate learners (completed and attained the qualification) tracking progression and outcomes.**

KTS ensures monitoring of certificate learners, (completed and attained the qualification) tracking progression and outcomes.

Through its alumni programs, Khawarizmi Training Solutions keeps in touch with its graduates. Tracking alumni enables the monitoring of institute graduates. It intends to enhance the present graduation tracking process and the alumni data delivery to the Learner Affairs section. It enables communication between graduates. The primary goal is to give all the information about former students, social networks, opportunities, news, and students.

After leaving the college, graduates will join a variety of professions and companies. Consequently, a current alumni database has a strong network of links. The list can be used by KTS for job fairs, charity galas, exhibitions, and other networking occasions.

Alumni databases should often include current contact information as well as details on post-graduation employment, education, email response rates, history, and communication preferences. Many valuable data sources can be tapped by alumni offices.

Activities for Alumni are organized by the Learner Affairs unit. The objectives of the alumni activities are to:

- Offer KTS graduates lifelong training programs to assist them keep up with the market's rapid changes. These training courses are provided for a small price.
- With the aid of the career office, offer KTS graduates services for career counseling and job placement. The association's members are given access to this service without payment.
- Plan social events for association members to assist them stay in touch with one another.
- For a very affordable price, an annual dinner party is organized for the alumni members.
- Offer the college critical input regarding the opinions of the graduates regarding the College's services and programs.

Related policies on [Claiming and issuing certificates](#) are accessible.

## **10 OCCUPATIONAL ENVIRONMENT, HEALTH AND SAFETY**

### **10/A Health services.**

- The learner will consult the on-site nursing station in an emergency where both staff and learners need immediate medical attention.
- Leading private hospitals in UAE effectively manage the nursing stations.
- All required medical supplies and medications are available at these nursing stations to handle any emergency cases.
- During working hours, both students and employees may consult the nursing station. Learners and staff will be referred in to their respective private hospitals for further comprehensive treatment, the event of serious cases where additional treatment is necessary outside the scope of the nursing station.
- The nursing station staff also takes part in delivering educational orientation courses and seminars on topics including stress management, quitting smoking, diabetes prevention, and others.

### **10/B EHS policy aligned with the expectations of the MoE's EHS Management System General Framework.**

### **10/C Safe storage, distribution, usage and disposal of any hazardous materials.**

Since KTS is fully operational within the KIC premises in Al Bahia, KTS has fully adopted the KIC Health Safety & Environment Management System (HSEMS) Manual, policies, and procedures as well as the KIC Covid-19 policy, retroactive to December 2020, in order to prevent or reduce accidents, incidents, and protect the environment against pollution and excessive consumption of energy, materials, and water.

The KTS-adopted KIC HSEMS Manual was drafted in line with the applicable Laws and Codes:

- Ministerial Order No. 32 of 1982 on the determination of retentive methods and measures for the
- protection of workers from risks at work (articles 1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 14, 15, 18 & 24).
- Labor Law no. 8 of 1980, as amended in 2007, Chapter V (articles 91, 92, 93, 94, 96, 98, 99, 100 & 101).
- Ministerial Order No. 2/37 of 1982 on the employees' medical care (articles 2, 3, 9, 10, 11, & 12).
- Executive Regulation No. 37 of 2001 of the Law No. 24 of 1999
- Federal Decree No. 11 of 2008 on the human resources in the federal government (article 65),
- Clauses 3 & 7, article 67, clause 2, article 77, clauses 1, 2 & 3, articles 78, 79 & 80.
- Executive Regulation No. 12 of 2006 of the Law No. 24 of 1999 on air protection
- Local Law No.16 2005 – Environmental Legislation Aspect & Impact
- Federal Law No. 24 of 1999 on the protection and development of the environment.
- Federal Law 21 of 2005: Waste Management in Emirate of Abu Dhabi (EAD)
- UAE Fire and Life Safety Code for 2018

- Decree No.(42) of 2009 issued by the Executive Council Chairman concerning OSHAD
- UAE Federal Law 21: 1995: UAE Traffic Law
- Federal law (29) article 2
- OSHAD Systems 2017
- Education Sector Occupational, Environmental, Health & Safety Management System General
- Framework (ED OHSEMS GF) 2016
- ADEK OSH section 2019
- HAAD Standard for First Aid Training (Ref: PHR/HRM/FA/0.9)
- HAAD/AMDS/SD/1.0 Version 1.0 HAAD Standards for administration of medication in schools
- OHSAS 18001:2007
- ISO 14001:2015

All KTS workers have been instructed to ensure that these papers are followed, help the HSE officer apply HSE rules and procedures completely, and provide support with relevant implementation proof as needed.

For the benefit of both employees and learners, the premises are kept clean and secure. At least once a year, the UAE's Civil Defense Department makes a visit to the location to inspect the building's safety features.

The [KIC HSEMS Manual and related policies and procedures](#) are accessible.

### **10/D Male and female accommodation**

(Not applicable as KTS does not provide accommodation)